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REQUEST FOR PROPOSAL

Provision of External Assessment Services

RFP No.: UNDP/OAI/RFP-2022-QA
Project: External Quality Assessment
Country: USA

Issued on: 24 May 2022

Note: This RFP replaces UNDP Procurement Notices -91223 – RFP for Provision of External Assessment Services dated 13 May 2022 due to amendments made to Section 2, Item 4 – Conflict of Interest.

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SECTION 1. LETTER OF INVITATION

The United Nations Development Programme (UNDP) hereby invites you to submit a Proposal to this Request for Proposal (RFP) for the above-referenced subject.

This RFP includes the following documents and the General Terms and Conditions of Contract which is inserted in the Bid Data Sheet (BDS):

- Section 1: This Letter of Invitation
- Section 2: Instruction to Bidders
- Section 3: Bid Data Sheet (BDS)
- Section 4: Evaluation Criteria
- Section 5: Terms of Reference
- Section 6: Returnable Bidding Forms
 - Form A: Technical Proposal Submission Form
 - Form B: Bidder Information Form
 - Form C: Joint Venture/Consortium/Association Information Form
 - Form D: Qualification Form
 - Form E: Format of Technical Proposal
 - Form F: Financial Proposal Submission Form
 - Form G: Financial Proposal Form
 - Form H: Questionnaires for preliminary screening

If you are interested in submitting a Proposal in response to this RFP, please prepare your Proposal in accordance with the requirements and procedure as set out in this RFP and submit it by the Deadline for Submission of Proposals set out in Bid Data Sheet.

Please acknowledge receipt of this RFP by sending an email to oai.bids@undp.org, indicating whether you intend to submit a Proposal or otherwise. This will enable you to receive amendments or updates to the RFP. Should you require further clarifications, kindly communicate with the contact person/s identified in the attached Bid Data Sheet as the focal point for queries on this RFP.

UNDP looks forward to receiving your Proposal and thank you in advance for your interest in UNDP procurement opportunities.

Approved by:



Name: Moncef Ghrib

Title: Deputy Director (Audit), OAI

Date: **May 24, 2022**

SECTION 2. INSTRUCTION TO BIDDERS

A. GENERAL PROVISIONS	
<i>1. Introduction</i>	<p>1.1 Bidders shall adhere to all the requirements of this RFP, including any amendments in writing by UNDP. This RFP is conducted in accordance with the UNDP Programme and Operations Policies and Procedures (POPP) on Contracts and Procurement which can be accessed at https://popp.undp.org/SitePages/POPPBSUnit.aspx?TermID=254a9f96-b883-476a-8ef8-e81f93a2b38d</p> <p>1.2 Any Proposal submitted will be regarded as an offer by the Bidder and does not constitute or imply the acceptance of the Proposal by UNDP. UNDP is under no obligation to award a contract to any Bidder as a result of this RFP.</p> <p>1.3 As part of the bid, it is desired that the Bidder registers at the United Nations Global Marketplace (UNGM) website (www.ungm.org). The Bidder may still submit a bid even if not registered with the UNGM. However, if the Bidder is selected for contract award, the Bidder must register on the UNGM prior to contract signature.</p>
<i>2. Fraud & Corruption, Gifts and Hospitality</i>	<p>2.1 UNDP strictly enforces a policy of zero tolerance on proscribed practices, including fraud, corruption, collusion, unethical or unprofessional practices, and obstruction of UNDP vendors and requires all bidders/vendors observe the highest standard of ethics during the procurement process and contract implementation. UNDP's Anti-Fraud Policy can be found at http://www.undp.org/content/undp/en/home/operations/accountability/audit/office_of_audit_andinvestigation.html#anti</p> <p>2.2 Bidders/vendors shall not offer gifts or hospitality of any kind to UNDP staff members including recreational trips to sporting or cultural events, theme parks or offers of holidays, transportation, or invitations to extravagant lunches or dinners.</p> <p>2.3 In pursuance of this policy, UNDP (a) Shall reject a proposal if it determines that the selected bidder has engaged in any corrupt or fraudulent practices in competing for the contract in question; (b) Shall declare a vendor ineligible, either indefinitely or for a stated period of time, to be awarded a contract if at any time it determines that the vendor has engaged in any corrupt or fraudulent practices in competing for, or in executing a UNDP contract.</p> <p>2.4 All Bidders must adhere to the UN Supplier Code of Conduct, which may be found at https://www.un.org/Depts/ptd/about-us/un-supplier-code-conduct</p>
<i>3. Eligibility</i>	<p>3.1 A vendor should not be suspended, debarred, or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization. Vendors are therefore required to disclose to UNDP whether they are subject to any sanction or temporary suspension imposed by these organizations.</p> <p>3.2 It is the Bidder's responsibility to ensure that its employees, joint venture members, sub-contractors, service providers, suppliers and/or their employees meet the eligibility requirements as established by UNDP.</p>
<i>4. Conflict of Interests</i>	<p>4.1 In accordance to Institute of Internal Auditors International Standards for the Professional Practices of Internal Auditing 1312 – External Assessment, External assessors, assessment teams, and their organizations should be free from actual, potential, or perceived conflicts of interest that could impair objectivity.</p> <p>4.2 In the event of any uncertainty in the interpretation of a potential conflict of interest, Bidders must disclose to UNDP, and seek UNDP's confirmation on whether or not such a conflict exists.</p> <p>4.3 Similarly, the Bidders must disclose in their proposal their knowledge of the</p>

	<p>following:</p> <ul style="list-style-type: none"> a) If the owners, part-owners, officers, directors, controlling shareholders, of the bidding entity or key personnel are family members of UNDP staff involved in the procurement functions and/or the Government of the country or any Implementing Partner receiving services under this RFP; and b) All other circumstances that could potentially lead to actual or perceived conflict of interest, collusion or unfair competition practices. <p>Failure to disclose such an information may result in the rejection of the proposal or proposals affected by the non-disclosure.</p> <p>4.4 The eligibility of Bidders that are wholly or partly owned by the Government shall be subject to UNDP's further evaluation and review of various factors such as being registered, operated and managed as an independent business entity, the extent of Government ownership/share, receipt of subsidies, mandate and access to information in relation to this RFP, among others. Conditions that may lead to undue advantage against other Bidders may result in the eventual rejection of the Proposal.</p>
B. PREPARATION OF PROPOSALS	
5. General Considerations	<p>5.1 In preparing the Proposal, the Bidder is expected to examine the RFP in detail. Material deficiencies in providing the information requested in the RFP may result in rejection of the Proposal.</p> <p>5.2 The Bidder will not be permitted to take advantage of any errors or omissions in the RFP. Should such errors or omissions be discovered, the Bidder must notify the UNDP</p>
6. Cost of Preparation of Proposal	<p>6.1 The Bidder shall bear any and all costs related to the preparation and/or submission of the Proposal, regardless of whether its Proposal was selected or not. UNDP shall not be responsible or liable for those costs, regardless of the conduct or outcome of the procurement process.</p>
7. Language	<p>7.1 The Proposal, as well as any and all related correspondence exchanged by the Bidder and UNDP, shall be written in the language (s) specified in the BDS.</p>
8. Documents Comprising the Proposal	<p>8.1 The Proposal shall comprise of the following documents:</p> <ul style="list-style-type: none"> a) Documents Establishing the Eligibility and Qualifications of the Bidder; b) Technical Proposal; c) Financial Proposal; d) Proposal Security, if required by BDS; e) Any attachments and/or appendices to the Proposal.
9. Documents Establishing the Eligibility and Qualifications of the Bidder	<p>9.1 The Bidder shall furnish documentary evidence of its status as an eligible and qualified vendor, using the Forms provided under Section 6 and providing documents required in those forms. In order to award a contract to a Bidder, its qualifications must be documented to UNDP's satisfaction.</p>
10. Technical Proposal Format and Content	<p>10.1 The Bidder is required to submit a Technical Proposal using the Standard Forms and templates provided in Section 6 of the RFP.</p> <p>10.2 The Technical Proposal shall not include any price or financial information. A Technical Proposal containing material financial information may be declared non-responsive.</p> <p>10.3 Samples of items, when required as per Section 5, shall be provided within the time specified and unless otherwise specified by UNDP, and at no expense to UNDP</p> <p>10.4 When applicable and required as per Section 5, the Bidder shall describe the</p>

	<p>necessary training programme available for the maintenance and operation of the services and/or equipment offered as well as the cost to the UNDP. Unless otherwise specified, such training as well as training materials shall be provided in the language of the Bid as specified in the BDS.</p>
<p>11. Financial Proposals</p>	<p>11.1 The Financial Proposal shall be prepared using the Standard Form provided in Section 6 of the RFP. It shall list all major cost components associated with the services, and the detailed breakdown of such costs.</p> <p>11.2 Any output and activities described in the Technical Proposal but not priced in the Financial Proposal, shall be assumed to be included in the prices of other activities or items, as well as in the final total price.</p> <p>11.3 Prices and other financial information must not be disclosed in any other place except in the financial proposal.</p>
<p>12. Proposal Security</p>	<p>12.1 A Proposal Security, if required by BDS, shall be provided in the amount and form indicated in the BDS. The Proposal Security shall be valid up to thirty (30) days after the final date of validity of the Proposal.</p> <p>12.2 The Proposal Security shall be included along with the Technical Proposal. If Proposal Security is required by the RFP but is not found along with the Technical Proposal, the Proposal shall be rejected.</p> <p>12.3 If the Proposal Security amount or its validity period is found to be less than what is required by UNDP, UNDP shall reject the Proposal.</p> <p>12.4 In the event an electronic submission is allowed in the BDS, Bidders shall include a copy of the Bid Security in their proposal and the original of the Proposal Security must be sent via courier or hand delivery as per the instructions in BDS.</p> <p>12.5 The Proposal Security may be forfeited by UNDP, and the Proposal rejected, in the event of any one or combination, of the following conditions:</p> <p>a) If the Bidder withdraws its offer during the period of the Proposal Validity specified in the BDS, or;</p> <p>b) In the event that the successful Bidder fails:</p> <p>i. to sign the Contract after UNDP has issued an award; or</p> <p>12.6 to furnish the Performance Security, insurances, or other documents that UNDP may require as a condition precedent to the effectivity of the contract that may be awarded to the Bidder.</p>
<p>13. Currencies</p>	<p>13.1 All prices shall be quoted in the currency or currencies indicated in the BDS. Where Proposals are quoted in different currencies, for the purposes of comparison of all Proposals:</p> <p>a) UNDP will convert the currency quoted in the Proposal into the UNDP preferred currency, in accordance with the prevailing UN operational rate of exchange on the last day of submission of Proposals; and</p> <p>b) In the event that UNDP selects a proposal for award that is quoted in a currency different from the preferred currency in the BDS, UNDP shall reserve the right to award the contract in the currency of UNDP's preference, using the conversion method specified above.</p>
<p>14. Joint Venture, Consortium or Association</p>	<p>14.1 If the Bidder is a group of legal entities that will form or have formed a Joint Venture (JV), Consortium or Association for the Proposal, they shall confirm in their Proposal that : (i) they have designated one party to act as a lead entity, duly vested with authority to legally bind the members of the JV, Consortium or Association jointly and severally, which shall be evidenced by a duly notarized Agreement among the legal entities, and submitted with the Proposal; and (ii) if they are awarded the contract, the contract shall be entered into, by and between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member</p>

	<p>entities comprising the joint venture.</p> <p>14.2 After the Deadline for Submission of Proposal, the lead entity identified to represent the JV, Consortium or Association shall not be altered without the prior written consent of UNDP.</p> <p>14.3 The lead entity and the member entities of the JV, Consortium or Association shall abide by the provisions of Clause 9 herein in respect of submitting only one proposal.</p> <p>14.4 The description of the organization of the JV, Consortium or Association must clearly define the expected role of each of the entity in the joint venture in delivering the requirements of the RFP, both in the Proposal and the JV, Consortium or Association Agreement. All entities that comprise the JV, Consortium or Association shall be subject to the eligibility and qualification assessment by UNDP.</p> <p>14.5 A JV, Consortium or Association in presenting its track record and experience should clearly differentiate between:</p> <ul style="list-style-type: none"> a) Those that were undertaken together by the JV, Consortium or Association; and b) Those that were undertaken by the individual entities of the JV, Consortium or Association. <p>14.6 Previous contracts completed by individual experts working privately but who are permanently or were temporarily associated with any of the member firms cannot be claimed as the experience of the JV, Consortium or Association or those of its members, but should only be claimed by the individual experts themselves in their presentation of their individual credentials.</p> <p>14.7 JV, Consortium or Associations are encouraged for high value, multi-sectoral requirements when the spectrum of expertise and resources required may not be available within one firm.</p>
<i>15. Only One Proposal</i>	<p>15.1 The Bidder (including the individual members of any Joint Venture) shall submit only one Proposal, either in its own name or as part of a Joint Venture.</p> <p>15.2 Proposals submitted by two (2) or more Bidders shall all be rejected if they are found to have any of the following:</p> <ul style="list-style-type: none"> f) they have at least one controlling partner, director or shareholder in common; or g) any one of them receive or have received any direct or indirect subsidy from the other/s; or h) they have the same legal representative for purposes of this RFP; or i) they have a relationship with each other, directly or through common third parties, that puts them in a position to have access to information about, or influence on the Proposal of, another Bidder regarding this RFP process; j) they are subcontractors to each other's Proposal, or a subcontractor to one Proposal also submits another Proposal under its name as lead Bidder; or k) some key personnel proposed to be in the team of one Bidder participates in more than one Proposal received for this RFP process. This condition relating to the personnel, does not apply to subcontractors being included in more than one Proposal.
<i>16. Proposal Validity Period</i>	<p>16.1 Proposals shall remain valid for the period specified in the BDS, commencing on the Deadline for Submission of Proposals. A Proposal valid for a shorter period may be rejected by UNDP and rendered non-responsive.</p> <p>16.2 During the Proposal validity period, the Bidder shall maintain its original Proposal without any change, including the availability of the Key Personnel, the proposed rates and the total price.</p>
<i>17. Extension of</i>	<p>17.1 In exceptional circumstances, prior to the expiration of the proposal validity period, UNDP may request Bidders to extend the period of validity of their Proposals. The</p>

<i>Proposal Validity Period</i>	<p>request and the responses shall be made in writing, and shall be considered integral to the Proposal.</p> <p>17.2 If the Bidder agrees to extend the validity of its Proposal, it shall be done without any change in the original Proposal.</p> <p>17.3 The Bidder has the right to refuse to extend the validity of its Proposal, and in which case, such Proposal will not be further evaluated.</p>
<i>18. Clarification of Proposal</i>	<p>18.1 Bidders may request clarifications on any of the RFP documents no later than the date indicated in the BDS. Any request for clarification must be sent in writing in the manner indicated in the BDS. If inquiries are sent other than specified channel, even if they are sent to a UNDP staff member, UNDP shall have no obligation to respond or confirm that the query was officially received.</p> <p>18.2 UNDP will provide the responses to clarifications through the method specified in the BDS.</p> <p>18.3 UNDP shall endeavor to provide responses to clarifications in an expeditious manner, but any delay in such response shall not cause an obligation on the part of UNDP to extend the submission date of the Proposals, unless UNDP deems that such an extension is justified and necessary.</p>
<i>19. Amendment of Proposals</i>	<p>19.1 At any time prior to the deadline of Proposal submission, UNDP may for any reason, such as in response to a clarification requested by a Bidder, modify the RFP in the form of an amendment to the RFP. Amendments will be made available to all prospective bidders.</p> <p>19.2 If the amendment is substantial, UNDP may extend the Deadline for submission of proposal to give the Bidders reasonable time to incorporate the amendment into their Proposals.</p>
<i>20. Alternative Proposals</i>	<p>20.1 Unless otherwise specified in the BDS, alternative proposals shall not be considered. If submission of alternative proposal is allowed by BDS, a Bidder may submit an alternative proposal, but only if it also submits a proposal conforming to the RFP requirements. UNDP shall only consider the alternative proposal offered by the Bidder whose conforming proposal ranked the highest as per the specified evaluation method. Where the conditions for its acceptance are met, or justifications are clearly established, UNDP reserves the right to award a contract based on an alternative proposal.</p> <p>20.2 If multiple/alternative proposals are being submitted, they must be clearly marked as "Main Proposal" and "Alternative Proposal"</p>
<i>21. Pre-Bid Conference</i>	<p>21.1 When appropriate, a Bidder's conference will be conducted at the date, time and location specified in the BDS. All Bidders are encouraged to attend. Non-attendance, however, shall not result in disqualification of an interested Bidder. Minutes of the Bidder's conference will be disseminated on the procurement website and shared by email as specified in the BDS. No verbal statement made during the conference shall modify the terms and conditions of the RFP, unless specifically incorporated in the Minutes of the Bidder's Conference or issued/posted as an amendment to RFP.</p>

C. SUBMISSION AND OPENING OF PROPOSALS

22. <i>Submission</i>	<p>22.1 The Bidder shall submit a duly signed and complete Proposal comprising the documents and forms in accordance with the requirements in the BDS. The submission shall be in the manner specified in the BDS.</p> <p>22.2 The Proposal shall be signed by the Bidder or person(s) duly authorized to commit the Bidder. The authorization shall be communicated through a document evidencing such authorization issued by the legal representative of the bidding entity, or a Power of Attorney, accompanying the Proposal.</p> <p>22.3 Bidders must be aware that the mere act of submission of a Proposal, in and of itself, implies that the Bidder fully accepts the UNDP General Contract Terms and Conditions.</p>
Email submission	<p>22.4 Proposers must submit their Proposals in the manner specified in the Bid Data Sheet (BDS nos. 14-16). Email submission shall be governed as follows:</p> <ul style="list-style-type: none"> a) UNDP shall indicate for its record that the official date and time of receiving the Proposal is the <u>actual</u> date and time when the said Proposal has arrived in the inbox of the email address indicated in the Bid Data Sheet (BDS no. 14). b) Electronic files that form part of the proposal must be in accordance with the format and requirements indicated in BDS; c) The Technical Proposal and the Financial Proposal files MUST BE COMPLETELY SEPARATE. The financial proposal shall be encrypted with different PASSWORDS and clearly labelled. The files must be sent to the dedicated email address specified in the BDS. d) The password for opening the Financial Proposal should be provided only upon request of UNDP. UNDP will request password only from bidders whose Technical Proposal has been found to be technically responsive. Failure to provide correct password may result in the proposal being
23. <i>Deadline for Submission of Proposals and Late Proposals</i>	<p>23.1 Complete Proposals must be received by UNDP in the manner, and no later than the date and time, specified in the BDS. UNDP shall only recognize the date and time that the bid was received by UNDP</p> <p>23.2 UNDP shall not consider any Proposal that is submitted after the deadline for the submission of Proposals.</p>
24. <i>Withdrawal, Substitution, and Modification of Proposals</i>	<p>24.1 A Bidder may withdraw, substitute or modify its Proposal after it has been submitted at any time prior to the deadline for submission.</p> <p>24.2 Manual and Email submissions: A bidder may withdraw, substitute or modify its Proposal by sending a written notice to UNDP, duly signed by an authorized representative, and shall include a copy of the authorization (or a Power of Attorney). The corresponding substitution or modification of the Proposal, if any, must accompany the respective written notice. All notices must be submitted in the same manner as specified for submission of proposals, by clearly marking them as "WITHDRAWAL" "SUBSTITUTION," or "MODIFICATION"</p> <p>24.3 Proposals requested to be withdrawn shall be returned unopened to the Bidders (only for manual submissions), except if the bid is withdrawn after the bid has been opened</p>
25. <i>Proposal Opening</i>	<p>25.1 There is no public bid opening for RFPs. UNDP shall open the Proposals in the presence of an ad-hoc committee formed by UNDP, consisting of at least two (2) members. In the case of e-Tendering submission, bidders will receive an automatic notification once their proposal is opened.</p>

D. EVALUATION OF PROPOSALS

<p>26. <i>Confidentiality</i></p>	<p>26.1 Information relating to the examination, evaluation, and comparison of Proposals, and the recommendation of contract award, shall not be disclosed to Bidders or any other persons not officially concerned with such process, even after publication of the contract award.</p> <p>26.2 Any effort by a Bidder or anyone on behalf of the Bidder to influence UNDP in the examination, evaluation and comparison of the Proposals or contract award decisions may, at UNDP's decision, result in the rejection of its Proposal and may be subject to the application of prevailing UNDP's vendor sanctions procedures.</p>
<p>27. <i>Evaluation of Proposals</i></p>	<p>27.1 The Bidder is not permitted to alter or modify its Proposal in any way after the proposal submission deadline except as permitted under Clause 24 of this RFP. UNDP will conduct the evaluation solely on the basis of the submitted Technical and Financial Proposals.</p> <p>27.2 Evaluation of proposals is made of the following steps:</p> <ul style="list-style-type: none"> a) Preliminary Examination b) Minimum Eligibility and Qualification (if pre-qualification is not done) c) Evaluation of Technical Proposals d) Evaluation of Financial Proposals
<p>28. <i>Preliminary Examination</i></p>	<p>28.1 UNDP shall examine the Proposals to determine whether they are complete with respect to minimum documentary requirements, whether the documents have been properly signed, and whether the Proposals are generally in order, among other indicators that may be used at this stage. UNDP reserves the right to reject any Proposal at this stage.</p>
<p>29. <i>Evaluation of Eligibility and Qualification</i></p>	<p>29.1 Eligibility and Qualification of the Bidder will be evaluated against the Minimum Eligibility/Qualification requirements specified in the Section 4 (Evaluation Criteria).</p> <p>29.2 In general terms, vendors that meet the following criteria may be considered qualified:</p> <ul style="list-style-type: none"> e) They are not included in the UN Security Council 1267/1989 Committee's list of terrorists and terrorist financiers, and in UNDP's ineligible vendors' list; f) They have a good financial standing and have access to adequate financial resources to perform the contract and all existing commercial commitments, g) They have the necessary similar experience, technical expertise, production capacity where applicable, quality certifications, quality assurance procedures and other resources applicable to the provision of the services required; h) They are able to comply fully with UNDP General Terms and Conditions of Contract; i) They do not have a consistent history of court/arbitral award decisions against the Bidder; and j) They have a record of timely and satisfactory performance with their clients.
<p>30. <i>Evaluation of Technical and Financial Proposals</i></p>	<p>30.1 The evaluation team shall review and evaluate the Technical Proposals on the basis of their responsiveness to the Terms of Reference and other RFP documents, applying the evaluation criteria, sub-criteria, and point system specified in the Section 4 (Evaluation Criteria). A Proposal shall be rendered non-responsive at the technical evaluation stage if it fails to achieve the minimum technical score indicated in the BDS. When necessary and if stated in the BDS, UNDP may invite technically responsive bidders for a presentation related to their technical proposals. The conditions for the presentation shall be provided in the bid document where required.</p> <p>30.2 In the second stage, only the Financial Proposals of those Bidders who achieve the minimum technical score will be opened for evaluation. The Financial Proposals corresponding to Technical Proposals that were rendered non-responsive shall remain unopened, and, in the case of manual submission, be returned to the Bidder unopened. For emailed Proposals and e-tendering submissions, UNDP will not request for the password of the Financial Proposals of bidders whose Technical</p>

	<p>Proposal were found not responsive.</p> <p>30.3 The evaluation method that applies for this RFP shall be as indicated in the BDS, which may be either of two (2) possible methods, as follows: (a) the lowest priced method which selects the lowest evaluated financial proposal of the technically responsive Bidders; or (b) the combined scoring method which will be based on a combination of the technical and financial score.</p> <p>30.4 When the BDS specifies a combined scoring method, the formula for the rating of the Proposals will be as follows:</p> <div style="border: 1px solid black; padding: 10px; margin: 10px 0;"> <p><u>Rating the Technical Proposal (TP):</u></p> <p style="text-align: center;">TP Rating = (Total Score Obtained by the Offer / Max. Obtainable Score for TP) x 100</p> <p><u>Rating the Financial Proposal (FP):</u></p> <p style="text-align: center;">FP Rating = (Lowest Priced Offer / Price of the Offer Being Reviewed) x 100</p> <p><u>Total Combined Score:</u></p> <p style="text-align: center;">Combined Score = (TP Rating) x (Weight of TP, e.g. 70%) + (FP Rating) x (Weight of FP, e.g., 30%)</p> </div>
31. <i>Due Diligence</i>	<p>31.1 UNDP reserves the right to undertake a due diligence exercise, also called post qualification, aimed at determining to its satisfaction, the validity of the information provided by the Bidder. Such exercise shall be fully documented and may include, but need not be limited to, all or any combination of the following:</p> <ul style="list-style-type: none"> a) Verification of accuracy, correctness and authenticity of information provided by the Bidder; b) Validation of extent of compliance to the RFP requirements and evaluation criteria based on what has so far been found by the evaluation team; c) Inquiry and reference checking with Government entities with jurisdiction on the Bidder, or with previous clients, or any other entity that may have done business with the Bidder; d) Inquiry and reference checking with previous clients on the performance on on-going or contracts completed, including physical inspections of previous works, as necessary; e) Physical inspection of the Bidder's offices, branches or other places where business transpires, with or without notice to the Bidder; f) Other means that UNDP may deem appropriate, at any stage within the selection process, prior to awarding the contract.
32. <i>Clarification of Proposals</i>	<p>32.1 To assist in the examination, evaluation and comparison of Proposals, UNDP may, at its discretion, ask any Bidder for a clarification of its Proposal.</p> <p>32.2 UNDP's request for clarification and the response shall be in writing and no change in the prices or substance of the Proposal shall be sought, offered, or permitted, except to provide clarification, and confirm the correction of any arithmetic errors discovered by UNDP in the evaluation of the Proposals, in accordance with RFP.</p> <p>32.3 Any unsolicited clarification submitted by a Bidder in respect to its Proposal, which is</p>

	not a response to a request by UNDP, shall not be considered during the review and evaluation of the Proposals.
33. <i>Responsiveness of Proposal</i>	<p>33.1 UNDP's determination of a Proposal's responsiveness will be based on the contents of the Proposal itself. A substantially responsive Proposal is one that conforms to all the terms, conditions, TOR and other requirements of the RFP without material deviation, reservation, or omission.</p> <p>33.2 If a Proposal is not substantially responsive, it shall be rejected by UNDP and may not subsequently be made responsive by the Bidder by correction of the material deviation, reservation, or omission.</p>
34. <i>Nonconformities, Reparable Errors and Omissions</i>	<p>34.1 Provided that a Proposal is substantially responsive, UNDP may waive any non-conformities or omissions in the Proposal that, in the opinion of UNDP, do not constitute a material deviation.</p> <p>34.2 UNDP may request the Bidder to submit the necessary information or documentation, within a reasonable period of time, to rectify nonmaterial nonconformities or omissions in the Proposal related to documentation requirements. Such omission shall not be related to any aspect of the price of the Proposal. Failure of the Bidder to comply with the request may result in the rejection of its Proposal.</p> <p>34.3 For Financial Proposal that has been opened, UNDP shall check and correct arithmetical errors as follows:</p> <ul style="list-style-type: none"> a) if there is a discrepancy between the unit price and the line item total that is obtained by multiplying the unit price by the quantity, the unit price shall prevail and the line item total shall be corrected, unless in the opinion of UNDP there is an obvious misplacement of the decimal point in the unit price; in which case the line item total as quoted shall govern and the unit price shall be corrected; b) if there is an error in a total corresponding to the addition or subtraction of subtotals, the subtotals shall prevail and the total shall be corrected; and c) if there is a discrepancy between words and figures, the amount in words shall prevail, unless the amount expressed in words is related to an arithmetic error, in which case the amount in figures shall prevail. <p>34.4 If the Bidder does not accept the correction of errors made by UNDP, its Proposal shall be rejected.</p>
E. AWARD OF CONTRACT	
35. <i>Right to Accept, Reject, Any or All Proposals</i>	35.1 UNDP reserves the right to accept or reject any Proposal, to render any or all of the Proposals as non-responsive, and to reject all Proposals at any time prior to award of contract, without incurring any liability, or obligation to inform the affected Bidder(s) of the grounds for UNDP's action. UNDP shall not be obliged to award the contract to the lowest priced offer.
36. <i>Award Criteria</i>	36.1 Prior to expiration of the proposal validity, UNDP shall award the contract to the qualified Bidder based on the award criteria indicated in the BDS.
37. <i>Debriefing</i>	37.1 In the event that a Bidder is unsuccessful, the Bidder may request a debriefing from UNDP. The purpose of the debriefing is to discuss the strengths and weaknesses of the Bidder's submission, in order to assist the Bidder in improving its future proposals for UNDP procurement opportunities. The content of other proposals and how they compare to the Bidder's submission shall not be discussed.
38. <i>Right to Vary Requirements at</i>	38.1 At the time of award of Contract, UNDP reserves the right to vary the quantity of services and/or goods, by up to a maximum twenty-five per cent (25%) of the total

<i>the Time of Award</i>	offer, without any change in the unit price or other terms and conditions.
39. Contract Signature	39.1 Within fifteen (15) days from the date of receipt of the Contract, the successful Bidder shall sign and date the Contract and return it to UNDP. Failure to do so may constitute sufficient grounds for the annulment of the award, and forfeiture of the Proposal Security, if any, and on which event, UNDP may award the Contract to the Second Ranked Bidder or call for new Proposals.
40. Contract Type and General Terms and Conditions	40.1 The types of Contract to be signed and the applicable UNDP Contract General Terms and Conditions, as specified in BDS, can be accessed at http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
41. Performance Security	41.1 40.1 A performance security, if required in BDS, shall be provided in the amount specified in BDS and form available at https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Solicitation_Performance%20Guarantee%20Form.docx&action=default within fifteen (15) days of the contract signature by both parties. Where a performance security is required, the receipt of the performance security by UNDP shall be a condition for rendering the contract effective.
42. Bank Guarantee for Advanced Payment	42.1 Except when the interests of UNDP so require, it is UNDP's preference to make no advance payment(s) (i.e., payments without having received any outputs). If an advance payment is allowed as per BDS, and exceeds 20% of the total contract price, or USD 30,000, whichever is less, the Bidder shall submit a Bank Guarantee in the full amount of the advance payment in the form available at https://popp.undp.org/_layouts/15/WopiFrame.aspx?sourcedoc=/UNDP_POPP_DOCUMENT_LIBRARY/Public/PSU_Contract%20Management%20Payment%20and%20Taxes_Advanced%20Payment%20Guarantee%20Form.docx&action=default
43. Liquidated Damages	43.1 If specified in BDS, UNDP shall apply Liquidated Damages resulting from the Contractor's delays or breach of its obligations as per the Contract.
44. Payment Provisions	44.1 Payment will be made only upon UNDP's acceptance of the work performed. The terms of payment shall be within thirty (30) days, after receipt of invoice and certification of acceptance of work issued by the proper authority in UNDP with direct supervision of the Contractor. Payment will be effected by bank transfer in the currency of contract.
45. Vendor Protest	45.1 UNDP's vendor protest procedure provides an opportunity for appeal to those persons or firms not awarded a contract through a competitive procurement process. In the event that a Bidder believes that it was not treated fairly, the following link provides further details regarding UNDP vendor protest procedures: http://www.undp.org/content/undp/en/home/operations/procurement/business/protest-and-sanctions.html
46. Other Provisions	<p>46.1 In the event that the Bidder offers a lower price to the host Government (e.g. General Services Administration (GSA) of the federal government of the United States of America) for similar services, UNDP shall be entitled to same lower price. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.2 UNDP is entitled to receive the same pricing offered by the same Contractor in contracts with the United Nations and/or its Agencies. The UNDP General Terms and Conditions shall have precedence.</p> <p>46.3 The United Nations has established restrictions on employment of (former) UN staff who have been involved in the procurement process as per bulletin ST/SGB/2006/15</p>

	http://www.un.org/en/ga/search/view_doc.asp?symbol=ST/SGB/2006/15&referer
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SECTION 3. BID DATA SHEET

The following data for the services to be procured shall complement, supplement, or amend the provisions in the Request for Proposals. In the case of a conflict between the Instructions to Bidders, the Data Sheet, and other annexes or references attached to the Data Sheet, the provisions in the Data Sheet shall prevail.

BDS No.	Ref. to Section.2	Data	Specific Instructions / Requirements
1	7	Language of the Proposal	English
2		Submitting Proposals for Parts or sub-parts of the TOR (partial bids)	Not Allowed
3	20	Alternative Proposals	Shall not be considered
4	21	Pre-proposal conference	Will not be conducted
5	10	Proposal Validity Period	120 days
6	14	Bid Security	Not Required
7	41	Advanced Payment upon signing of contract	Not Allowed
8	42	Liquidated Damages	Will not be imposed
9	40	Performance Security	Not Required
10	18	Currency of Proposal	United States Dollar
11	31	Deadline for submitting requests for clarifications/ questions	5 days before the submission deadline Request for clarification should use subject matter "RFP No.: UNDP/OAI/RFP-2022-QA"
12	31	Contact Details for submitting	Official email for submission: oai.bids@undp.org

		clarifications/questions	Copy to the focal point email address: fatma.ngum@undp.org and thi.nguyet.nga.do@undp.org Focal Person in UNDP: Ms. Thi Nguyet Nga Do and Ms. Fatma Ngum
13	18, 19 and 21	Manner of Disseminating Supplemental Information to the RFP and responses/clarifications to queries	Direct communication to prospective Proposers by email
14	23	Deadline for Submission	6 June 2022 at 15:30 (EST) Official date and time of receiving the Proposal is the <u>actual</u> date and time when the said Proposal has arrived in the inbox of the email address: oai.bids@undp.org .
14	22	Allowable Manner of Submitting Proposals	<input checked="" type="checkbox"/> Submission by email
15	22	Proposal Submission Address	oai.bids@undp.org
16	22	Electronic submission (email) requirements	Proposal must be submitted in two (2) separate .pdf format files: a. Technical Proposal b. Financial Proposal (should be password-protected). <ul style="list-style-type: none"> ▪ OAI will request the password if your proposal is deemed technically compliant. ▪ Any submission with financial proposal that is not password-protected will be disqualified. ▪ Also any submission of financial proposal together with the password will be disqualified ▪ Mandatory subject of email: UNDP/OAI/RFP-2022-QA
17	27 36	Evaluation Method for the Award of Contract	Combined Scoring Method, using the 70%-30% distribution for technical and financial proposals respectively The minimum technical score required to pass is 70%.
18		Expected date for commencement of Contract	July 25, 2022

19		Maximum expected duration of contract	6 months
20	35	UNDP will award the contract to:	One Proposer Only
21	39	Type of Contract	Purchase Order and Contract for Goods and Services for UNDP http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
22	39	UNDP Contract Terms and Conditions that will apply	UNDP General Terms and Conditions for Professional Services http://www.undp.org/content/undp/en/home/procurement/business/how-we-buy.html
23		Other Information Related to the RFP	If the bidder is a joint venture, consortium or association, it shall: (i) designate one party to act as a lead entity, duly vested with authority to legally bind the members of the joint venture jointly, and severally, and this shall be evidenced by a duly notarized Agreement among the legal entities, which shall be submitted along with the Proposal; and (ii) if awarded, the contract shall be entered into, by an between UNDP and the designated lead entity, who shall be acting for and on behalf of all the member entities comprising the joint venture.

SECTION 4. EVALUATION CRITERIA

Preliminary Examination Criteria

Proposals will be examined to determine whether they are complete and submitted in accordance with RFP requirements as per below criteria on a Yes/No basis:

- Appropriate signatures
- Power of Attorney
- Minimum documents provided
- Technical and Financial Proposals submitted separately
- Bid Validity

Minimum Eligibility and Qualification Criteria

Eligibility and Qualification will be evaluated on Pass/Fail basis.

If the Proposal is submitted as a Joint Venture/Consortium/Association, each member should meet minimum criteria, unless otherwise specified in the criterion.

Subject	Criteria	Document Submission requirement
ELIGIBILITY		
Legal Status	Vendor is a legally registered entity.	Form B: Bidder Information Form
Eligibility	Vendor is not suspended, nor debarred, nor otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization in accordance with ITB clause 3.	Form A: Technical Proposal Submission Form
Conflict of Interest	No conflicts of interest in accordance with Section 2: Instruction to bidder, clause 4.	Form A: Technical Proposal Submission Form
Bankruptcy	Not declared bankruptcy, not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against the vendor that could impair its operations in the foreseeable future.	Form A: Technical Proposal Submission Form
References	Client references for similar projects (scope, value, etc.) where the vendor was the main/lead contractor	At least three references
QUALIFICATION		
History of Non-Performing Contracts¹	Non-performance of a contract did not occur as a result of contractor default for the last 3 years.	Form D: Qualification Form
Litigation History	No consistent history of court/arbitral award decisions against the Bidder for the last 3 years.	Form D: Qualification Form
Previous Experience	Minimum 10 years of relevant experience.	Form B: Qualification Form
	Minimum 3 contracts of similar value, nature and complexity implemented over the last 5 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form

¹ Non-performance, as decided by UNDP, shall include all contracts where (a) non-performance was not challenged by the contractor, including through referral to the dispute resolution mechanism under the respective contract, and (b) contracts that were so challenged but fully settled against the contractor. Non-performance shall not include contracts where Employers decision was overruled by the dispute resolution mechanism. Non-performance must be based on all information on fully settled disputes or litigation, i.e. dispute or litigation that has been resolved in accordance with the dispute resolution mechanism under the respective contract and where all appeal instances available to the Bidder have been exhausted.

Financial Standing	Minimum average annual turnover of USD [REDACTED] for the last 3 years. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Not required
	Bidder must demonstrate the current soundness of its financial standing and indicate its prospective long-term profitability. <i>(For JV/Consortium/Association, all Parties cumulatively should meet requirement).</i>	Form D: Qualification Form

Technical Evaluation Criteria

Summary of Technical Proposal Evaluation Forms		Points Obtainable
1.	Bidder's qualification, capacity and experience	200
2.	Proposed Methodology, Approach and Implementation Plan	400
3.	Management Structure and Key Personnel	400
	Total	1000

Section 1. Bidder's qualification, capacity and experience		Points obtainable
1.1	Reputation and history of the Organization (10 years or more) and Staff Credibility / Reliability / Industry Standing.	50
1.2	General Organizational Capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted. Higher reliance on subcontractors would lower the points.	50
1.3	Relevance of specialized knowledge and experience on similar engagements done in the region/country	50
1.4	Quality assurance procedures and risk mitigation measures	30
1.5	Organizational Commitment to Sustainability (mandatory weight) -Organization is compliant with ISO 14001 or ISO 14064 or equivalent – 10 points -Organization is a member of the UN Global Compact -5 points -Organization demonstrates significant commitment to sustainability through some other means- 5 points, for example internal company policy documents on women empowerment, renewable energies or membership of trade institutions promoting such issues	20
Total Section 1		200

Section 2. Proposed Methodology, Approach and Implementation Plan		Points obtainable
2.1	Understanding of the requirement: Have the important aspects of the task been addressed in sufficient detail? Are the different components of the engagement adequately weighted relative to one another?	80
2.2	Description of the Offeror's approach and methodology for meeting or exceeding the requirements of the Terms of Reference	100
2.3	Details on how the different service elements shall be organized, controlled and delivered	50
2.4	Description of available performance monitoring and evaluation mechanisms and tools; how they shall be adopted and used for a specific requirement	50
2.5	Assessment of the implementation plan proposed including whether the activities are properly sequenced and if these are logical and realistic	70

2.6	Demonstration of ability to plan, integrate and effectively implement sustainability measures in the execution of the contract	50
Total Section 2		400

Section 3. Management Structure and Key Personnel			Points obtainable
3.1	Composition and structure of the team proposed. Are the proposed roles of the management and the team of key personnel suitable for the provision of the necessary services?		50
3.2	Qualifications of key personnel proposed		
3.2 a	Team Leader		200
	- Professional qualifications (in addition to CIA certification)	20	
	- Specific Experience relevant to the assignment	40	
	- International experience	30	
	- Audit experience at senior level positions	40	
	- Experience in leading similar assignments	40	
	- Knowledge of UN/UNDP operations	20	
	- Language Qualifications	10	
3.2 b	Team members		150
	- Professional qualifications (in addition to CIA certification)	20	
	- Specific Experience relevant to the assignment	40	
	- International experience	30	
	- Audit experience at senior level positions	30	
	- Knowledge of UN/UNDP operations	20	
	- Language Qualifications	10	
Total Section 3			400

SECTION 5. TERMS OF REFERENCE

Terms of Reference (TOR)

Provision of External Quality Assessment Services

1. Background Information

- a) UNDP's internal audit function was established in 1975. The Office of Audit and Investigations (OAI), consisting of approximately 60 staff, conducts its audits in conformance with the International Standards for the Professional Practice of Internal Auditing. Consistent with the IIA standards, OAI follows a risk-based approach to planning and conducting its internal audit work. OAI assesses and reports on the performance of operations in the various units in UNDP. To this effect, OAI has eight audit units, three at its Headquarters in New York and five covering all regions where UNDP has operations. See Section 7 "OAI – An Overview" for more information.
- b) The International Standards for the Professional Practice of Internal Auditing 1312 – External Assessment issued by the Institute of Internal Auditors (IIA Standards) require external quality assessments (QA) of the internal audit activity to be conducted at least once every five years by a qualified, independent reviewer or review team from outside the organization. The last external quality assessment of the internal audit function of the Office of Audit and Investigations (OAI) was completed in 2017.

2. Specific Objectives

The objectives of the external quality assessment are:

- a) To assess OAI's conformance with the IIA Standards and Code of Ethics; and
- b) To assess the efficiency and effectiveness of OAI audit activities in meeting the objectives and mission as defined in the UNDP Financial Regulations and Rules (Article 4 on Audit) and the Charter of OAI.

3. Scope

- a) The external assessment will review the internal audit activity's conformance with the International Standards for the Professional Practice of Internal Auditing and its definition of Internal Auditing, the Code of Ethics, and the Standards, and as appropriate includes recommendations for improvement. The assessment may also include a review of the efficiency and effectiveness of OAI audit activities with a view to identify opportunities for further improvements. This will entail assessing all of OAI's internal audit activities, such as but not limited to annual work planning, including use of resources; various audit methodologies such as performance audits, compliance audits and financial audits, various types of audits pertaining to headquarters' units and functions, country offices, and directly-implemented projects; audit follow-up system; advisory services; coordination with external auditors; relationship with UNDP senior management.
- b) It will also assess the proficiency of OAI auditors.
- c) It will encompass OAI audit operations at its Headquarters in New York and in five regional audit centres located in (i) Dakar, Senegal; (ii) Istanbul, Turkey (iii) Kuala Lumpur, Malaysia; (iv) Panama City, Panama; and (v) Pretoria, South Africa.. All working papers and reports will be made available electronically.
- d) The following activities will not be covered: (i) investigation services, as this has been subject to a separate external quality assessment; and (ii) the review and assessment that OAI performs of audit reports prepared by

third party auditors contracted by UNDP business units in the field to audit projects implemented by national institutions or non-governmental organizations.

4. Deliverables and Schedules

- a) The quality assessments exercise is confidential, with the results provided only to UNDP.
- b) Upon completion of the assignment, a draft report shall be submitted to Director, OAI within 15 working days after fieldwork.
- c) The report will be finalized, taking into consideration comments received from OAI.
- d) The final report shall be addressed to the Director, OAI and submitted within 10 working days after receipt of final comments.
- e) In accordance with the IIA Standards, the Director of OAI will submit the final quality assessments report to the Administrator and Associate Administrator of UNDP with a copy to the Chair of the Audit and Evaluation Advisory Committee. A summary thereof will be included in OAI's annual report to the Executive Board. The final report will also be shared with the UNDP external auditors.
- f) The assessment may be conducted remotely or at HQ in New York. Any review of OAI's regional audit centers will be performed remotely.

5. Reviewer's Professional Qualifications

- a) The QA review team must demonstrate competence in at least two areas: (i) the professional practice of internal auditing and (ii) the external quality assessment process. As such, the team should meet the following minimum qualifications described herein.
- b) The team leader has to be a duly Certified Internal Auditor (CIA), with at least 10 years of internal audit experience within performance auditing, compliance auditing and financial auditing at a senior managerial level in complex national or international organizations and at least 2 years of actual experience in conducting external quality assessments as a leader of a quality assessment review team.
- c) Collectively, the quality assessment review team should document (i) experience in conducting external quality assessment of internal audit entities comparable in size and complexity to UNDP, (ii) the necessary technical skills (e.g. information technology, risk management, governance and strategic management, internal auditing and audit management); (iii) experience with the internal audit function in the public sector and/or the UN - system; and (iv) documented experience working with similar entities in the United Nations system or other International Organizations. The quality assessment review team members have to be duly Certified Internal Auditors (CIA).
- d) Working knowledge of French and/or Spanish will be considered an added advantage.
- e) The individual members of the quality assessments review team must be completely impartial and independent from all aspects of management or financial interests in UNDP and must not have any real or apparent conflict of interest. There should not be any relationship, either directly or indirectly, between UNDP or OAI and the quality assessment review team that is, or appears to be, in conflict of interest. The quality assessment review team members should not, during the period covered by the review nor during the undertaking of the review, be employed by, serve as director for, or have any financial or close business relationships with any member of the senior management of UNDP.

6. Schedule of Payments

19. Corresponding payments shall be made following certification by UNDP that the deliverables requested have been satisfactorily performed and have been achieved by or before the due date. Travel and accommodation costs will be covered by OAI.

20. The payments shall be made with following milestones:

#	Milestone	% Payable
1	Quality Assessment plan and schedule are accepted by OAI	20%
2	End of fieldwork and submission of draft report to OAI	50%
3	Acceptance of satisfactory final report by UNDP	30%

SECTION 6: RETURNABLE BIDDING FORMS / CHECKLIST

This form serves as a checklist for preparation of your Proposal. Please complete the Returnable Bidding Forms in accordance with the instructions in the forms and return them as part of your Proposal submission. No alteration to format of forms shall be permitted and no substitution shall be accepted.

Before submitting your Proposal, please ensure compliance with the Proposal Submission instructions of the BDS 22.

Technical Proposal Envelope:

Have you duly completed all the Returnable Bidding Forms?	
▪ Form A: Technical Proposal Submission Form	<input type="checkbox"/>
▪ Form B: Bidder Information Form	<input type="checkbox"/>
▪ Form C: Joint Venture/Consortium/ Association Information Form	<input type="checkbox"/>
▪ Form D: Qualification Form	<input type="checkbox"/>
▪ Form E: Format of Technical Proposal	<input type="checkbox"/>
▪ Add other forms as necessary	<input type="checkbox"/>
Have you provided the required documents to establish compliance with the evaluation criteria in Section 4?	<input type="checkbox"/>

Financial Proposal Envelope

(Must be submitted in a separate password protected file)

▪ Form F: Financial Proposal Submission Form	<input type="checkbox"/>
▪ Form G: Financial Proposal Form	<input type="checkbox"/>

FORM A: TECHNICAL PROPOSAL SUBMISSION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

We, the undersigned, offer to provide the services for **Provision of External Quality Assessment Services** in accordance with your Request for Proposal No. **UNDP/OAI/RFP-2022-QA** and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

We hereby declare that our firm, its affiliates or subsidiaries or employees, including any JV/Consortium /Association members or subcontractors or suppliers for any part of the contract:

- a) is not under procurement prohibition by the United Nations, including but not limited to prohibitions derived from the Compendium of United Nations Security Council Sanctions Lists;
- b) have not been suspended, debarred, sanctioned or otherwise identified as ineligible by any UN Organization or the World Bank Group or any other international Organization;
- c) have no conflict of interest in accordance with Instruction to Bidders Clause 4;
- d) do not employ, or anticipate employing, any person(s) who is, or has been a UN staff member within the last year, if said UN staff member has or had prior professional dealings with our firm in his/her capacity as UN staff member within the last three years of service with the UN (in accordance with UN post-employment restrictions published in ST/SGB/2006/15);
- e) have not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against them that could impair their operations in the foreseeable future;
- f) undertake not to engage in proscribed practices, including but not limited to corruption, fraud, coercion, collusion, obstruction, or any other unethical practice, with the UN or any other party, and to conduct business in a manner that averts any financial, operational, reputational or other undue risk to the UN and we *embrace the principles of the United Nations Supplier Code of Conduct and adhere to the principles of the United Nations Global Compact.*

We declare that all the information and statements made in this Proposal are true and we accept that any misinterpretation or misrepresentation contained in this Proposal may lead to our disqualification and/or sanctioning by the UNDP.

We offer to provide services in conformity with the Bidding documents, including the UNDP General Conditions of Contract and in accordance with the Terms of Reference

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand and recognize that you are not bound to accept any Proposal you receive.

I, the undersigned, certify that I am duly authorized by [Insert Name of Bidder] to sign this Proposal and bind it should UNDP accept this Proposal.

Name: _____

Title: _____

Date: _____

Signature: _____

[Stamp with official stamp of the Bidder]

FORM B: BIDDER INFORMATION FORM

Legal name of Bidder	[Complete]
Legal address	[Complete]
Year of registration	[Complete]
Bidder's Authorized Representative Information	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Are you a UNGM registered vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UGNM vendor number]
Are you a UNDP vendor?	<input type="checkbox"/> Yes <input type="checkbox"/> No If yes, [insert UNDP vendor number]
Countries of operation	[Complete]
No. of full-time employees	[Complete]
Quality Assurance Certification (e.g. ISO 9000 or Equivalent) (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company hold any accreditation such as ISO 14001 related to the environment? (If yes, provide a Copy of the valid Certificate):	[Complete]
Does your Company have a written Statement of its Environmental Policy? (If yes, provide a Copy)	[Complete]
Contact person UNDP may contact for requests for clarification during Proposal evaluation	Name and Title: [Complete] Telephone numbers: [Complete] Email: [Complete]
Please attach the following documents:	<ul style="list-style-type: none"> ▪ Company Profile, which should <u>not</u> exceed fifteen (15) pages, including printed brochures and product catalogues relevant to the goods/services being procured ▪ Certificate of Incorporation/ Business Registration ▪ Tax Registration/Payment Certificate issued by the Internal Revenue Authority evidencing that the Bidder is updated with its tax payment obligations, or Certificate of Tax exemption, if any such privilege is enjoyed by the Bidder, if applicable ▪ Trade name registration papers, if applicable ▪ Local Government permit to locate and operate in assignment location, if applicable ▪ Official Letter of Appointment as local representative, if Bidder is submitting a Bid on behalf of an entity located outside the country ▪ Power of Attorney

FORM C: JOINT VENTURE/CONSORTIUM/ASSOCIATION INFORMATION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

To be completed and returned with your Proposal if the Proposal is submitted as a Joint Venture/Consortium/Association.

No	Name of Partner and contact information <i>(address, telephone numbers, fax numbers, e-mail address)</i>	Proposed proportion of responsibilities (in %) and type of services to be performed
1	[Complete]	[Complete]
2	[Complete]	[Complete]
3	[Complete]	[Complete]

Name of leading partner (with authority to bind the JV, Consortium, Association during the RFP process and, in the event a Contract is awarded, during contract execution)	[Complete]
--	------------

We have attached a copy of the below document signed by every partner, which details the likely legal structure of and the confirmation of joint and severable liability of the members of the said joint venture:

☐ Letter of intent to form a joint venture **OR** ☐ JV/Consortium/Association agreement

We hereby confirm that if the contract is awarded, all parties of the Joint Venture/Consortium/Association shall be jointly and severally liable to UNDP for the fulfillment of the provisions of the Contract.

Name of partner:

Signature: _____

Date: _____

Name of partner:

Signature: _____

Date: _____

Name of partner:

Signature: _____

Date: _____

Name of partner:

Signature: _____

Date: _____

FORM D: QUALIFICATION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

If JV/Consortium/Association, to be completed by each partner.

Historical Contract Non-Performance

<input type="checkbox"/> Contract non-performance did not occur for the last 3 years			
<input type="checkbox"/> Contract(s) not performed for the last 3 years			
Year	Non- performed portion of contract	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Reason(s) for non-performance:	

Litigation History (including pending litigation)

<input type="checkbox"/> No litigation history for the last 3 years			
<input type="checkbox"/> Litigation History as indicated below			
Year of dispute	Amount in dispute (in US\$)	Contract Identification	Total Contract Amount (current value in US\$)
		Name of Client: Address of Client: Matter in dispute: Party who initiated the dispute: Status of dispute: Party awarded if resolved:	

Previous Relevant Experience

Please list only previous similar assignments successfully completed in the last 5 years.

List only those assignments for which the Bidder was legally contracted or sub-contracted by the Client as a company or was one of the Consortium/JV partners. Assignments completed by the Bidder's individual experts working privately or through other firms cannot be claimed as the relevant experience of the Bidder, or that of the Bidder's partners or sub-consultants, but can be claimed by the Experts themselves in their CVs. The Bidder should be prepared to substantiate the claimed experience by presenting copies of relevant documents and references if so requested by UNDP.

Project name & Country of Assignment	Client & Reference Contact Details	Contract Value	Period of activity and status	Types of activities undertaken

Bidders may also attach their own Project Data Sheets with more details for assignments above.

☐ Attached are the Statements of Satisfactory Performance from the Top 3 (three) Clients or more.

Financial Standing

Annual Turnover for the last 3 years	Year	USD
	Year	USD
	Year	USD
Latest Credit Rating (if any), indicate the source		

Financial information (in US\$ equivalent)	Historic information for the last 3 years		
	Year 1	Year 2	Year 3
	<i>Information from Balance Sheet</i>		
Total Assets (TA)			
Total Liabilities (TL)			
Current Assets (CA)			
Current Liabilities (CL)			
	<i>Information from Income Statement</i>		
Total / Gross Revenue (TR)			
Profits Before Taxes (PBT)			
Net Profit			
Current Ratio			

☐ Attached are copies of the audited financial statements (balance sheets, including all related notes, and income statements) for the years required above complying with the following condition:

- a) Must reflect the financial situation of the Bidder or party to a JV, and not sister or parent companies;
- b) Historic financial statements must be audited by a certified public accountant;
- c) Historic financial statements must correspond to accounting periods already completed and audited. No statements for partial periods shall be accepted.

FORM E: FORMAT OF TECHNICAL PROPOSAL

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

The Bidder's proposal should be organized to follow this format of Technical Proposal. Where the bidder is presented with a requirement or asked to use a specific approach, the bidder must not only state its acceptance, but also describe how it intends to comply with the requirements. Where a descriptive response is requested, failure to provide the same will be viewed as non-responsive.

SECTION 1: Bidder's qualification, capacity and expertise

- 1.1 Brief description of the organization, including the year and country of incorporation, and types of activities undertaken. Legal mandates/authorized business activities and approximate annual budget, etc. Include reference to reputation, or any history of litigation and arbitration in which the organization has been involved and that could adversely affect or impact the performance of the services, indicating the status/results of such litigation/arbitration. The proposer is required to have at **least 10 years** of experience in providing the required services.
- 1.2 General organizational capability which is likely to affect implementation: management structure, financial stability and project financing capacity, project management controls, extent to which any work would be subcontracted (if so, provide details).
- 1.3 Relevance of specialized knowledge and experience on similar engagements done in the region/country. It must have at **least three (3) years** of international experience working with multinational companies/organizations.
- 1.4 Quality assurance procedures and risk mitigation measures.
- 1.5 Organization's commitment to sustainability.

SECTION 2: Proposed Methodology, Approach and Implementation Plan

This section should demonstrate the bidder's responsiveness to the TOR by identifying the specific components proposed, addressing the requirements, providing a detailed description of the essential performance characteristics proposed and demonstrating how the proposed approach and methodology meets or exceeds the requirements. All important aspects should be addressed in sufficient detail and different components of the project should be adequately weighted relative to one another.

- 2.1 Understanding of the requirement. Please, provide a description of the requirements and its associated stages. e.g. what would be the size and structure of the reviewing team that will be assigned? Details on how the different service elements shall be organized, controlled and delivered, etc.
- 2.2 A detailed description of the approach and methodology for how the Bidder will achieve the Terms of Reference of the quality assessment. The methodology shall also include details of the Bidder's internal technical and quality assurance review mechanisms.
- 2.3 What would be the size and structure of the reviewing team that will be assigned? Explain whether any work would be subcontracted, to whom, how much percentage of the work, the rationale for such, and the roles of the proposed sub-contractors and how everyone will function as a team.
- 2.4 Description of available performance monitoring and evaluation mechanisms and tools in order to ensure a good and consistent quality of work; how they shall be adopted and used for a specific requirement.
- 2.5 Implementation of the quality assessment plan or schedule indicating the detailed sequence of activities that will be undertaken and their corresponding timing. Describe any potential risk to the implementation of this plan that may affect the achievement and timely completion of the review.
- 2.6 Demonstrate how you plan to integrate sustainability measures in the execution of the contract.
- 2.7 Any other comments or information regarding the project approach and methodology that will be adopted.

SECTION 2A: Bidder's Comments and Suggestions on the Terms of Reference

Provide comments and suggestions on the Terms of Reference, or additional services that will be rendered beyond the requirements of the TOR, if any.

SECTION 3: Management Structure and Key Personnel

- 3.1 Composition and structure of the team proposed. Describe the overall management approach toward planning and implementing the quality review. Include an organization chart for the management of the project describing the relationship of key positions and designations. Provide a spreadsheet to show the activities of each personnel and the time allocated for his/her involvement
- 3.2 Qualification of key personnel. Provide CVs for key personnel that will be provided to support the implementation of this engagement using the format below. CVs should demonstrate qualifications in areas relevant to the Scope of Services.

Format for CV of Proposed Key Personnel

NAME OF PERSONNEL	[INSERT]
POSITION FOR THIS ASSIGNMENT	[INSERT]
NATIONALITY	[INSERT]
LANGUAGE PROFICIENCY	[INSERT]

EDUCATION/ QUALIFICATIONS	<i>[SUMMARIZE COLLEGE/UNIVERSITY AND OTHER SPECIALIZED EDUCATION OF PERSONNEL MEMBER, GIVING NAMES OF SCHOOLS, DATES ATTENDED, AND DEGREES/QUALIFICATIONS OBTAINED.]</i>
	[INSERT]
PROFESSIONAL CERTIFICATIONS	<i>[PROVIDE DETAILS OF PROFESSIONAL CERTIFICATIONS RELEVANT TO THE SCOPE OF SERVICES]</i>
	<ul style="list-style-type: none">▪ NAME OF INSTITUTION: [INSERT]▪ DATE OF CERTIFICATION: [INSERT]
EMPLOYMENT RECORD/	<i>[LIST ALL POSITIONS HELD BY PERSONNEL (STARTING WITH PRESENT POSITION, LIST IN REVERSE ORDER), GIVING DATES, NAMES OF EMPLOYING ORGANIZATION, TITLE OF POSITION HELD AND LOCATION OF EMPLOYMENT. FOR EXPERIENCE IN LAST FIVE YEARS, DETAIL THE TYPE OF ACTIVITIES PERFORMED, DEGREE OF RESPONSIBILITIES, LOCATION OF ASSIGNMENTS AND ANY OTHER INFORMATION OR PROFESSIONAL EXPERIENCE CONSIDERED PERTINENT FOR THIS ASSIGNMENT.]</i>

EXPERIENCE

[INSERT]

[PROVIDE NAMES, ADDRESSES, PHONE AND EMAIL CONTACT
INFORMATION FOR TWO (2) REFERENCES]

REFERENCES

REFERENCE 1:

[INSERT]

REFERENCE 2:

[INSERT]

I, the undersigned, certify that to the best of my knowledge and belief, these data correctly describe my qualifications, my experiences, and other relevant information about myself.

Signature of Personnel

Date (Day/Month/Year)

FORM F: FINANCIAL PROPOSAL SUBMISSION FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

We, the undersigned, offer to provide the services for Provision of External Quality Assessment Services in accordance with your Request for Proposal No. UNDP/OAI/RFP-2022-QA and our Proposal. We are hereby submitting our Proposal, which includes this Technical Proposal and our Financial Proposal sealed under a separate envelope.

Our attached Financial Proposal is for the sum of [Insert amount in words and figures].

Our Proposal shall be valid and remain binding upon us for the period of time specified in the Bid Data Sheet.

We understand you are not bound to accept any Proposal you receive.

Name: _____

Title: _____

Date: _____

Signature: _____

[Stamp with official stamp of the Bidder]

FORM G: FINANCIAL PROPOSAL FORM

Name of Bidder:	[Insert Name of Bidder]	Date:	Select date
RFP reference:	UNDP/OAI/RFP-2022-QA		

The Bidder is required to prepare the Financial Proposal following the below format and submit it in a separate file protected by password from the Technical Proposal as indicated in the Instruction to Bidders. Any Financial information provided in the Technical Proposal shall lead to Bidder's disqualification.

The Financial Proposal should align with the requirements in the Terms of Reference and the Bidder's Technical Proposal.

The Financial Proposal must provide a detailed cost breakdown in United States dollars. Provide separate figures for each functional grouping or professional category.

Any estimates for cost-reimbursable items, such as travel and out of pocket expenses, should be listed separately.

Currency of the proposal: USD

Cost breakdown per deliverables

Description	Deliverable	Daily rate	No. of workdays	Total professional fees
Team leader - Name				
Team member 1- Name				
Team member 2- Name				
Team member 3- Name				
Team member #- Name				
Sub-totals				\$
				\$
Other Costs (communication, coordination costs, etc.) (not exceed 5% of professional fees)				\$
Total fixed price				\$

FORM H: QUESTIONNAIRE FOR PRILIMINARY SCREENING

Note: For your ease of reference, we have listed below the minimum requirements that your firm needs to meet in order for your proposal to be eligible for consideration by UNDP. All the items mentioned below should be fully met. If a single item in the list below is not met, UNDP will not give your proposal further consideration. We strongly encourage you to review this questionnaire before you consider preparing and submitting a proposal of services.

#	Questions	Please post your brief answer here	Remarks
1.	Does your firm have at least 10 years of experience in providing required services?		In reference to Form E. Point 1.1 of the RFP, if this number cannot be reached, please do not proceed with submission.
2.	Does your firm have at least 3 years of similar experience in working with multinational organization ?		In reference to Form E; Point 1.3 of the RFP, the bidding firms must have knowledge and experience on similar engagements. It must have at least three (3) years of international experience working with multinational companies/organizations If this number cannot be reached, please do not proceed with submission.
3.	If yes to Q1, please list your 3 client references for similar assignments, where your firm was the main/lead contractor.		In reference to the Form D, part" Previous Relevant Experience". If this number cannot be reached, please do not proceed with submission.
4.	Has your firm submitted a Certificate of Registration of the Business, including Article of Incorporation or equivalent document?		In reference to Form B, if the answer is no, please do not proceed with submission.
5.	Has your firm submitted its last audited financial statements?		Refer to Form B.
6.	The Proposer confirms to accept the General Contract Terms and Conditions of UNDP as attached hereto as Section 2. Instruction to Bidder		Ensure that this confirmation is clearly spelled out in the proposal that you will submit to UNDP. Otherwise, your proposal would be rejected.

SECTION 7: OAI – AN OVERVIEW

I. INTRODUCTION

The oversight policy of UNDP outlines auditing performed by the following two independent bodies:

- United Nations Board of Auditors (BOA) for external audits; and
- Office of Audit and Investigations (OAI) for internal audits.

Single audit principle

The United Nations system upholds what is referred to as the “single audit principle”, whereby the BOA as the Organization’s statutory external auditor, retains the exclusive right to carry out external audits of the accounts and statements of the United Nations organizations. Accordingly, audits of UNDP can only be conducted by its external and internal auditors, and no third-party audits are permitted. UNDP therefore applies its internal audit and external audit regime to all sources of funds that are administered by the Organization. In cases where a donor requires a special audit of its contributions, OAI may conduct a project audit of the project(s) funded by the donor and provides the donor with the audited financial statements of the project(s) and with the Executive Summary of the audit report concerned.

OAI reports to the UNDP Administrator and provides (a) internal audits and related advisory services, and (b) investigations services. As defined by the Institute of Internal Auditors (IIA):

“internal auditing is an independent, objective assurance and consulting activity designed to add value and improve an organization’s operations. It helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.”

OAI assesses risk exposures relating to UNDP’s governance, risk management, and controls to ensure:

- achievement of the organization’s strategic objectives;
- reliability and integrity of financial and operating information;
- effectiveness and efficiency of operations;
- safeguarding of assets; and
- compliance with legislative mandates, regulations and rules, policies and procedures.

Investigations mandate

OAI has the sole responsibility for conducting investigations within UNDP. OAI conducts investigations into allegations of misconduct, such as mismanagement, fraud, theft and embezzlement, corruption, abuse of privileges and immunities, sexual exploitation and sexual abuse, workplace harassment and abuse of authority, retaliation on whistle-blowers, or other acts or omissions in conflict with the general obligations of staff members that involve UNDP staff and other personnel. In addition, OAI undertakes proactive investigations in high risk areas that are susceptible to wrongdoing, fraud, and corruption.

II. OAI MANDATE, MISSION AND VISION

The audit and investigation activities of OAI are governed by Article 4 of the UNDP Financial Regulations and Rules and by the Charter of OAI. The Charter stipulates *inter alia* the mission of OAI, the scope of its work, responsibilities and authorities as well as the operational independence OAI enjoys in conducting its duties. It defines the mission of OAI as follows:

“The mission of OAI is to provide UNDP an effective system of independent and objective internal oversight that is designed to improve the effectiveness and efficiency of UNDP’s operations in achieving its developmental goals and objectives through the provision of (i) internal audit and related advisory services, and (ii) investigation services.”

Keeping in mind the mission of OAI and UNDP, OAI management and staff formulated the following vision statement:

"To be a strong promoter of accountability and integrity and an impartial provider of reliable information, valued by management and stakeholders."

III. GOVERNANCE

UNDP Management

The Director of OAI is appointed for a term of five years, with the possibility of renewal once for a maximum of five years, and is barred from re-entry into UNDP after the expiry of the term. The Administrator shall consult with the Audit and Evaluation Advisory Committee (AEAC) on the appointment, performance evaluation, extension and dismissal of the Director of OAI.

Audit and Evaluation Advisory Committee, AEAC

The Administrator appoints the five expert members of the AEAC, all of whom are external to UNDP. The AEAC provides advice to the Administrator in fulfilling his/her responsibilities regarding financial management and reporting, internal control arrangements, risk management, and matters relating to external and internal audits. To fulfil this mandate, the AEAC interacts with various UNDP corporate offices as well as the UNDP internal and external auditors. The members of the AEAC have extensive experience in governance, oversight, audit, administration and financial management. The Associate Administrator, the Director of OAI, the Chief Finance Officer, and the Director of the Bureau for Management Services participate in AEAC meetings.

At each meeting, the members of the AEAC are updated by OAI management on the progress made against the OAI performance indicators, the annual work plan, the status of OAI resources and the main issues arising from audits and/or investigations.

Executive Board

OAI submits an annual report on internal audit and investigations to the Executive Board. This report includes, *inter alia*, summarized qualitative and statistical information about internal audits carried out during a calendar year, highlights of the key and most recurring audit issues as well as information on investigations conducted during the year. The annual report is published as an Executive Board document.

IV. ORGANIZATIONAL STRUCTURE

The OAI organizational structure is decentralized with several audit units at New York Headquarters (Head quarters Audit Section, Special Assignment Section and Information and Communication Technology Audit Section) and the Regional Audit Centres for:

- Asia and the Pacific (RAC-AP) with a portfolio of 24 Country Offices
- East and Southern Africa (RAC-ESA) with a portfolio of 24 Country Offices
- North, West and Central Africa (RAC-NWCA) with a portfolio of 26 Country Offices
- Europe, the Commonwealth of Independent States and the Middle East (RAC-ECME) with a portfolio of 31 Country Offices
- Latin America and the Caribbean (RAC-LAC) with a portfolio of 25 Country Offices

OAI has 84 staff members (as at 31 December 2021), consisting of audit and investigation professionals, programme specialists as well as administrative, investigation and audit associates, deriving from more than 30 countries and all continents.

The budget is prepared by OAI, based on its annual work plan; it is reviewed by the Office of Financial Management and by the AEAC and is approved by the Executive Board as part of the overall budget of UNDP. In cases where OAI needs additional resources, a request is made for consideration and approval by UNDP senior management following consultation with the AEAC.

V. STRATEGY AND PLANNING

Coordination among United Nations system oversight bodies

The OAI Director participates in UN-RIAS activities, including bi-monthly virtual meetings, interaction with High Level Committee on Management, United Nations Development Group and Bilateral Donors' Oversight Network.

OAI is also an active member of the Conference of International Investigators and takes a leading role in organizing joint training for United Nations system investigators.

Coordination with external auditors

The three members of the BOA are elected by the General Assembly. The BOA is comprised of the heads of supreme audit institutions. The main objective of the external auditors' audit work is to assess and provide an opinion on UNDP annual financial statements, which are submitted to the Executive Board and the General Assembly.

The BOA addresses "Management Letters" to the UNDP Administrator and an annual (consolidated) report to the General Assembly through its Fifth Committee.

The BOA and OAI consult on a continuous basis and coordinate work plan priorities and audit work in order to avoid audit gaps and/or duplication of efforts.

VI. INTERNAL AUDIT SERVICES

OAI provides the following assurance and consulting services:

- Audits (comprising Country Office audits, Head Quarters audit, Global Fund Audits and ICT audits)
- Review of third-party audit reports of projects that are implemented by national governments or by non-governmental organizations (NIM/NGO audits) and directly implemented projects
- Advisory services (comprising issuance of risk advisories, review of write off requests)

A. Audits

Audit services are comprised of a variety of audit types, which respond to different needs:

(a) Country Office audits²

A Country Office audit is a comprehensive audit covering all or most of the following areas and sub-areas:

- Governance, including planning & Risks Management; Organizational Chart & Overall Staffing
Internal Control Framework & Delegations of Authority
- Development activities: Country Programme management, Project Administration, Grants,
- Operations: Human resources, Finance, Procurement, Information and communication technology, Administrative Services

- (b) Functional audits of multiple Country Offices, which may cover one or more of the areas mentioned above
- (c) Audits of Headquarters units, including performance audits
- (d) Audits of corporate functions and systems
- (e) Audits of Global Fund grants managed by UNDP as Principal Recipient
- (f) Audits of directly implemented projects (DIM)
- (g) Special audits

² The new Country Office Audit Guidelines came into effect since 1 January 2020

- (h) Follow-up audits to verify the implementation status of audit recommendations of previously audited office with 'unsatisfactory' rating.

OAI undertakes its internal audits 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 (IIA).

Audits are conducted by audit teams, comprising two to three persons, headed by a team leader. Occasionally, OAI complements its staff by sourcing additional personnel.

Audit universe

The universe of OAI internal oversight services include all operations and activities undertaken at/in:

- Headquarters Bureaus and Offices
- Corporate functions and systems
- Country Offices in more than 130 countries
- Regional Centres
- Liaison offices and other offices
- Development projects funded by or through UNDP
- United Nations Capital Development Fund (UNCDF)
- United Nations Volunteers (UNV)
- United Nations Office for South South Cooperation

OAI has developed a country office risk assessment model, which has been annually refined and expanded to cover the varied components of its audit universe. Separate risk assessment models were used to identify audits for country offices, DIM projects, Global Fund programmes/projects, headquarters, and regional business units. OAI's risk assessment methodology covers the whole risk assessment process from risk identification, risk measurement, risk prioritization and risk ranking. The risk indicators used are both quantitative and qualitative and are classified in line with UNDP's enterprise risk management categories of risks. The final risk ranking determines the frequency of audits, but may be adjusted after consultations with management. Generally, those entities ranked very high risk are audited every two years, high risk every three years, medium risk every four to five years, and low risk every five to six years.

Reporting of audit results

At the end of the audit fieldwork, the audit team conducts an exit meeting with the head of the audited unit and other concerned officers to discuss their preliminary observations and recommendations. After the meeting, OAI conveys the audit observations and recommendations in the form of a draft audit report, which contains an overall rating, as follows:

▪ Fully Satisfactory	The assessed governance arrangements, risk management practices and controls were adequately established and functioning well. Issues identified by the audit, if any, are unlikely to affect the achievement of the objectives of the audited entity/area.
▪ Satisfactory / Some Improvement Needed³	The assessed governance arrangements, risk management practices and controls were generally established and functioning, but need some improvement. Issues identified by the audit do not significantly affect the achievement of the objectives of the audited entity/area.
▪ Partially Satisfactory / Major Improvement Needed	The assessed governance arrangements, risk management practices and controls were established and functioning, but need major improvement. Issues identified by the audit could significantly affect the achievement of the objectives of the audited entity/area.

³ Until 31 December 2020 the rating was denominated 'Partially Satisfactory/Some Improvement Needed'

▪ Unsatisfactory	The assessed governance arrangements, risk management practices and controls were either not adequately established or not functioning well. Issues identified by the audit could seriously compromise the achievement of the objectives of the audited entity/area.
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Audit recommendations are assigned a priority (high/critical, medium/important, or low). The elaboration of the risk category is aimed to assist the office in prioritizing the implementation of various recommendations. The definitions for the priorities are:

▪ High (Critical)	Prompt action is required to ensure that UNDP is not exposed to high risks. Failure to take action could result in major negative consequences for UNDP.
▪ Medium (Important)	Action is required to ensure that UNDP is not exposed to risks. Failure to take action could result in negative consequences for UNDP.
▪ Low	Action is desirable and should result in enhanced control or better value for money. Low priority recommendations, if any, are dealt with by the audit team directly with the Office management, either during the exit meeting or through a separate memo subsequent to the fieldwork. Therefore, low priority recommendations are <u>not included in this report</u> .

The head of the audited unit as the responsible manager is requested to review the draft report and comment on the observations and recommendations and/or provide additional clarification or documentation on the issues reported. These comments are analysed and integrated into the final audit report, which is submitted by the Director, OAI to the Administrator.

Monitoring of audit recommendations

OAI monitors and reports on the implementation status of internal audit recommendations. For this purpose, OAI maintains and regularly updates a web-based database, known as the Comprehensive Audit and Recommendation Database System (CARDS) for all audit reports issued. All units have access to CARDS and are required to update the status of implementation of audit recommendations.

The audited units are required to continuously update the status of the implementation of audit recommendations in CARDS, starting within one month after the issuance of the audit report. Based on these updates, OAI validates the information received. CARDS then calculates the implementation rate, taking into account the implementation status ("implemented", "in progress", "not implemented"), the priority assigned to a recommendation ("high", "medium", "low") and the timeliness of implementation. Therefore, the higher the priority of an audit recommendation and the timelier the implementation, the higher the score awarded for its implementation.

Disclosure of internal audit reports

According to Executive Board decision 2012/18, the Director of Internal Audit of UNDP will make publicly available all internal audit reports issued from 1 December 2012.

OAI publishes a list of all internal audit reports issued on the UNDP website (<http://audit-public-disclosure.undp.org/>). This list is continuously updated.

B. Review of third-party audit reports

For nationally implemented (NIM) and Non Governmental Organization (NGO) implemented projects, OAI reviews the related third-party audit reports on an annual basis in terms of:

- Ranking of the audit findings (assessment of the risks involved, their severity and possible impact on the overall project implementation).
- Assessment of the adequacy of the audit coverage.
- Overall assessment of how well the NIM/ NGO audit exercise has been performed.

C. Advisory services

At the request of management, OAI provides advisory services on the design and adoption of practices and procedures that add value to the organization and contribute to the improvement of risk management and operational effectiveness. Advisory services cover a wide array of subjects such as: review of and comments on memoranda of understanding (MOUs), internal control issues, delegation of authority, proposed new policies and procedures or policy changes.

VII. INVESTIGATIONS

OAI shall assess and conduct investigations into allegations of misconduct, such as fraud, theft and embezzlement, corruption, abuse of privileges and immunities, sexual exploitation and sexual abuse, workplace harassment and abuse of authority, retaliation on whistle-blowers, or other acts or omissions in conflict with the general obligations of staff members that involve UNDP staff and other personnel.

OAI may assess and conduct investigations into allegations of fraud and other financial irregularities committed by contractors, implementing partners and other third parties, deemed to be detrimental to UNDP.

In addition, OAI undertakes proactive investigations in high risk areas that are susceptible to wrongdoing, fraud, and corruption.

OAI operates an investigations hotline, which has been outsourced to a service provider, and is accessible worldwide at no cost and 24/7 in the three working languages of UNDP. Individuals may anonymously report wrongdoing by persons or entities working for or doing business with UNDP. The hotline can be directly accessed by:

- The UNDP website (<https://intranet.undp.org/unit/office/oai/investigations/SitePages/invs.aspx>)
- e-mail (reportmisconduct@undp.org);
- worldwide numbers at <https://secure.ethicspoint.eu/domain/media/en/gui/104807/phone.html> (interpreters available 24 hours/day);
- toll-free calling 1-844-595-5206 (within the USA).

OAI shall conduct investigations in accordance with the Uniform Principles and Guidelines for Investigations endorsed by the 10th Conference of International Investigators, with the UNDP Legal Framework for Addressing Non-Compliance with the United Nations Standards of Conduct, and with the OAI Investigations Guidelines.

In conducting its assessments and investigations OAI works closely with the Investigation Services of other United Nations organizations, Multilateral Financial Institutions, and other International Organizations.

If the investigation reveals that the complaints or allegations are not substantiated, OAI closes the case and informs the subject of the investigation, the complainant, the Legal Office and other offices concerned accordingly. If the investigation substantiates the allegations, OAI prepares a fact-finding report, including comments from the individuals concerned which is submitted to the Legal Office (for staff) for consideration and disciplinary action, as appropriate. The Legal Office determines whether there is a basis for disciplinary action. In the case of contractors, implementing partners and other third parties, OAI submits its reports to the relevant Country Office, Bureau or office. In the case of vendors, reports are submitted to the Vendor Review Committee.

In cases where the investigation results in credible allegations of criminal conduct, OAI shall prepare a case file with a recommendation for referral to national law enforcement authorities, as appropriate, for criminal investigation and prosecution.

OAI shall also submit reports to the Administrator and senior management on weaknesses in controls, processes, deficiencies in regulations and guidance that are identified in the course of investigations with recommendations for

addressing these weaknesses and further strengthening the accountability framework in the organization.

VIII. QUALITY ASSURANCE

To ensure its continuing effectiveness in carrying out its mandate, OAI maintains a quality assurance and improvement programme for both the investigations and audit functions. Periodic external quality assurance reviews are done every five years. Before being released, every report undergoes a rigid quality assessment process at several levels of OAI management.

OAI uses an audit management system and an investigations case management system to track its audit and investigations assignments and their outputs against its work plan. These systems allow OAI to efficiently monitor its activities and performance.
