



## United Nations Procurement Division

**REQUEST FOR INFORMATION (RFI)**

This notice is placed by UNPD. The accuracy, reliability and completeness of the contents of furnished information is the responsibility of United Nations Procurement Division . You are therefore requested to direct all queries regarding this RFI to United Nations Procurement Division using the fax number or e-mail address provided below.

**Title of the RFI:**

Compliance monitoring software for personal trading

**Date of this RFI:** 14 May 2021**Closing Date for Receipt of RFI:** 7 June 2021**RFI Number:** RFIUNPD18512**Beneficiary Country/Territory:** United States of America**Commodity/Service category:** End User Technology & Applications**Address RFI response by fax or e-mail to the Attention of:** Wansun Sun Chung**Fax Number:** n/a**E-mail Address:** wansun.chung2@un.org**UNSPSC Code:** 64000000,64100000,81111501,81000000,43230000,43231500**DESCRIPTION OF REQUIREMENTS**

The purpose of this Request for Information (RFI) is to gather information about capabilities of the latest available solution for Compliance Monitoring Software for Personal Trading and existing providers in the marketplace to fulfill the United Nations (UN) future requirement. You are kindly requested to review the overview of Specific requirements on the following page, and to provide information as to whether your company and solution could potentially fulfill the requirements. This RFI is issued solely for information and planning purposes. It does not constitute a solicitation (Request for Proposal or Request for Quotations) from the United Nations or a promise to issue a solicitation in the future. This RFI does not commit the United Nations to pay any cost incurred in the preparation or submission of any response to the RFI.

The United Nations on behalf of the United Nations Joint Staff Pension Fund-Office of Investment Management is looking for the latest available solutions to provide a comprehensive compliance monitoring software in the following areas:

- 1) Reporting, pre-clearing, confirming and reconciling of staff members' personal securities transactions with brokerage confirmations through automatic direct brokerage feeds in accordance to OIM's personal



securities policy.

- 2) Documenting annual staff member's certifications to OIM's Code of Ethic policies, procedures, and regulations.
- 3) Documenting and reporting of staff compliance in respect to OIM's Gifts and Hospitality policies as well as disclosure of any Outside Affiliations in accordance with OIM's conflict of interest policy.

THE MINIMUM REQUIRED QUALIFICATIONS ARE AS FOLLOWS:

- 1) A minimum of (10) years proven experience in providing services to large financial institutions such as: (a) pension funds of municipalities, provincial, governmental, multilateral organizations, (b) multinational corporations, and other similar firms in the area of monitoring of personal trading, gifts and entertainment.
- 2) A proven track record of servicing a minimum of 100 institutional clients.
- 3) A minimum of 130 automatic electronic brokerage feeds for the reconciliation of staff brokerage transactions via a direct and electronic feed mechanism. This minimum of 130 automatic brokerage feeds must include a few non-US based brokerage firms given the international nature of OIM working environment.
- 4) A web-based compliance monitoring software with appropriate controls including the following:
  - Two-factor authentication for employee remote access to internal networks together with host lockdown to prevent unauthorized data transfer
  - Strong password policies including lockout and auditing
  - One-way encryption for stored passwords
  - Industry standard TLS encryption for user sessions
  - AES 256 full database encryption
  - AES 256 encryption for all feed data
  - SSAE 16 SOC I Type II certified or equivalent requirements.

The vendors should address the above requirements and provide information about their licensing/subscription model, pricing models, list of available products and services.

**SPECIFIC REQUIREMENTS / INFORMATION (IF ANY)**



## NOTE

Information on tendering for the UN Procurement System is **available free of charge** at the following address: <https://www.ungm.org/Public/Notice>

Only the United Nations Global Marketplace (UNGM) has been authorised to collect a nominal fee from vendors that wish to receive automatically Procurement Notices or Requests for Expression Of Interest. Vendors interested in this Tender Alert Service are invited to subscribe on <http://www.ungm.org>

***Vendors interested in participating in a potential future solicitation process should submit the Vendor Response Form of this RFI electronically (through the link available on the next page) before the closing date set forth above.***



# VENDOR RESPONSE

## NOTICE

- Companies can only participate in solicitations of the UN Secretariat after completing their registration (free of charge) at the United Nations Global Marketplace ([www.ungm.org](http://www.ungm.org)).
- Please verify that your company is registered under its **full legal** name on the United Nations Global Market Place ([www.ungm.org](http://www.ungm.org)) and that your application for registration as vendor has been submitted to the **UN Secretariat** in the same site, to be able to participate in any potential solicitation process as a result of this RFI.
- While companies can participate in solicitations after completion of registration at Basic Level, we strongly recommend all companies to register at least at **Level 1** under the United Nations Secretariat prior to participating in any solicitations.

**PLEASE NOTE: You should submit your response to this RFI electronically at:**

<https://www.un.org/Depts/ptd/node/add/interest-expressed?EOI=RFIUNPD18512>

**In case you have difficulties submitting your response electronically, please contact [wansun.chung2@un.org](mailto:wansun.chung2@un.org) directly for instructions.**



## RFI INSTRUCTIONS

### 1) Registering as a Vendor with the United Nations

Vendors interested in fulfilling the requirement described above must be registered at the UN Global Marketplace ([www.ungm.org](http://www.ungm.org)) with the UN Secretariat in order to be eligible to participate in any solicitation. Information on the registration process can be found at <https://www.un.org/Depts/ptd/vendors>.

#### **Prerequisites for Eligibility**

In order to be eligible for UN registration, you must declare that:

- A. Your company (as well as any parent, subsidiary or affiliate companies) is not listed in, or associated with a company or individual listed in:
  - I. the Compendium of United Nations Security Council Sanctions Lists (<https://www.un.org/sc/suborg/en/sanctions/un-sc-consolidated-list>), or
  - II. the IIC Oil for Food List website or, if listed on either, this has been disclosed to the United Nations Procurement Division in writing.
- B. Your company (as well as any parent, subsidiary or affiliate companies) is not currently removed or suspended by the United Nations or any other UN organisation (including the World Bank);
- C. Your company (as well as any parent, subsidiary or affiliate companies) is not under formal investigation, nor have been sanctioned within the preceding three (3) years, by any national authority of a United Nations Member State for engaging or having engaged in proscribed practices, including but not limited to: corruption, fraud, coercion, collusion, obstruction, or any other unethical practice;
- D. Your company has not declared bankruptcy, are not involved in bankruptcy or receivership proceedings, and there is no judgment or pending legal action against your company that could impair your company's operations in the foreseeable future;
- E. Your company does 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 the Vendor 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).
- F. Your company undertakes 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.

**For Registered Vendors:** Vendors already registered at the UN Global Marketplace with the UN Secretariat must ensure that the information and documentation (e.g. financial statements, address, contact name, etc.) provided in connection with their registration are up to date in UNGM. Please verify and ensure that your company is registered under its full legal name.

**For Vendors Interested in Registration:** Vendors not yet registered should apply for registration on the United Nations Global Marketplace (<http://www.ungm.org>); information on the registration process can be found at <https://www.un.org/Depts/ptd/vendors>. Vendors must complete the registration process prior to the closing date of the RFI. Vendors who have not completed the UNGM registration process with the UN Secretariat before the closing date of the RFI are not considered eligible to participate in the potential solicitation process related to the RFI. We strongly recommend all companies to register at least at Level 1 under the UN Secretariat prior to participating in any solicitations.

**IMPORTANT NOTICE: Any false, incomplete or defective vendor registration may result in the rejection of the application or cancellation of an already existing registration.**

### 2) RFI Process

Vendors interested in participating in the potential solicitation process should forward their information (as requested in the RFI) to United Nations Procurement Division (UNPD) by the closing date set forth in this RFI. *Due to the high volume of communications UNPD is not in a position to issue confirmation of receipt of RFIs.*

Please note that no further details of the potential solicitation can be made available to the vendors prior to issuance of the solicitation documents.

This RFI is issued subject to the conditions contained in the RFI introductory page available at <https://www.un.org/Depts/ptd/rfi>.

