



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:

Provision of Audit Software

Date of this RFI: 6 December 2021**Closing Date for Receipt of RFI:** 21 January 2022**RFI Number:** RFIUNPD19206**Beneficiary Country/Territory:** Global**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:** 43231516,43231500**DESCRIPTION OF REQUIREMENTS**

OIOS provides audit services to the United Nations Secretariat entities in accordance with the International Standards for the Professional Practice of Internal Auditing. The Office needs a fully web-based audit management software that would enable: (i) OIOS to record all audit work done and audit-related information and documentation into one system; (ii) OIOS and client focal points to view and monitor their recommendations real-time and provide status updates online at anytime/anywhere. The software will facilitate comprehensive management of the audit cycle end-to-end.

The software shall support the following high-level functions:

- (i) Risk assessment
- (ii) Audit planning
- (iii) Audit testing and execution
- (iv) Audit documentation
- (v) Issuance of recommendations and tracking
- (vi) Reporting
- (vii) Audit statistics and analytics, and dashboards
- (viii) Library



(ix) Time tracking

The users of the software includes the following:

- i. 120 auditors, who are full-time users of the software (both audit working papers and recommendation tracking), including auditors in field locations around the world
- ii. 26 evaluators and investigators accessing recommendation tracking module only to record and monitor recommendations
- iii. 5 administrators, who manage the access list, set up the assignments in the system, address any technical matters that users may have
- iv. 300+ audit focal points from client departments, who will have real-time access the recommendation tracking module of the system to update the status of audit recommendations and upload any necessary supporting files.

OIOS users and client focal points are located in various duty stations, field missions and country operations around the world.

SPECIFIC REQUIREMENTS / INFORMATION (IF ANY)

The software should comply with the United Nations standard technology platform and architecture.

The application will be accessed through the web (HTTPS) from anywhere globally through Two-Factor Authentication through Azure AD. It will use an SMTP server which will be accessible through the UN Azure AD with SAML (Security assertion markup language for web based authentication) method. It must be ensured that there is no third-party software other than a browser to access/use the application.

Please see the attached Annex A for technical details.

Based on above info and Annex A, Please provide the brief report or brochure obtaining the information about license fee, annual maintenance fee, etc.

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).
- Please verify that your company is registered under its **full legal** name on the United Nations Global Market Place (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=RFIUNPD19206>

In case you have difficulties submitting your response electronically, please contact 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) 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>.



Annex A

Architecture Information

	Current	To-be								
Application ID in Unite Apps (If applicable)										
Application Exposure (Select <u>ALL</u> that apply)	<input checked="" type="checkbox"/> internal with authentication <input checked="" type="checkbox"/> External with authentication <input type="checkbox"/> External without authentication (Public)	<input checked="" type="checkbox"/> internal with authentication <input checked="" type="checkbox"/> External with authentication <input type="checkbox"/> External without authentication (Public)								
Service Type (Select <u>ALL</u> that apply)	<input type="checkbox"/> SaaS <input type="checkbox"/> PaaS <input checked="" type="checkbox"/> IaaS (VMs, physical servers)	<input type="checkbox"/> SaaS <input type="checkbox"/> PaaS <input checked="" type="checkbox"/> IaaS (VMs, physical servers)								
Hosting Model (Select <u>ALL</u> that apply)	<input type="checkbox"/> Cloud <input checked="" type="checkbox"/> On-premise	<input type="checkbox"/> Cloud <input checked="" type="checkbox"/> On-premise								
Authentication Methods/Protocols (Select <u>ALL</u> that apply)	<input checked="" type="checkbox"/> SAML <input type="checkbox"/> OpenID Connect <input type="checkbox"/> LDAP <input type="checkbox"/> Form Authentication <input type="checkbox"/> Header-based authentication <input type="checkbox"/> No Authentication required <input type="checkbox"/> Others <i>Specify, if others:</i>	<input checked="" type="checkbox"/> SAML <input type="checkbox"/> OpenID Connect <input type="checkbox"/> LDAP <input type="checkbox"/> Form Authentication <input type="checkbox"/> Header-based authentication <input type="checkbox"/> No Authentication required <input type="checkbox"/> Others <i>Specify, if others :</i>								
User Directory for Authentication	<input checked="" type="checkbox"/> UN Azure AD <input type="checkbox"/> UN Global AD <input type="checkbox"/> Local AD <input type="checkbox"/> DB or application specific directories <input type="checkbox"/> Others <i>Specify, if others:</i>	<input checked="" type="checkbox"/> UN Azure AD <input type="checkbox"/> UN Global AD <input type="checkbox"/> Local AD <input type="checkbox"/> DB or application specific directories <input type="checkbox"/> Others <i>Specify, if others:</i>								
Infrastructure Info (Only current only, if applicable, in total)	<table border="1"> <tr> <td>VM (Number)</td> <td>2 VMs</td> </tr> <tr> <td>CPU (Number)</td> <td>16 core CPU</td> </tr> <tr> <td>Memory (GB)</td> <td>48 GB</td> </tr> <tr> <td>Disk (GB)</td> <td>240 GB</td> </tr> </table>	VM (Number)	2 VMs	CPU (Number)	16 core CPU	Memory (GB)	48 GB	Disk (GB)	240 GB	
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