



## 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 Compliance Advisor services (company)

**Date of this RFI:** 13 March 2024**Closing Date for Receipt of RFI:** 26 April 2024**RFI Number:** RFIUNPD22476**Beneficiary Country/Territory:** Global**Commodity/Service category:** Financial Services**Address RFI response by fax or e-mail to the Attention of:** Ricardo Velez Castellon**Fax Number:** By email only**E-mail Address:** ricardo.velezcastellon@un.org**UNSPSC Code:**

80101500 - Business and corporate management consultation services

80101508 - Business intelligence consulting services

80101600 - Project management

84000000 - Financial and Insurance Services



## DESCRIPTION OF REQUIREMENTS

### A. Mandate

1. The United Nations Joint Staff Pension Fund (UNJSPF or the Fund) Office of Investment Management (OIM) is conducting a Request for Information (RFI) to select a Compliance Advisor that can provide guidance and recommendations on compliance matters.
2. The United Nations Secretary-General is responsible for the investment of the assets of the UNJSPF. The Secretary-General has delegated this responsibility to the Representative of the Secretary-General for the investment of the assets of the UNJSPF (RSG). The RSG is, in turn, assisted in this function by the Office of Investment Management (OIM). OIM manages approximately \$80+ billion multi-asset class, global investment portfolio, about 85% of which is actively managed in-house. Asset classes under management are comprised of global equities, fixed income, foreign exchange, private equity, real estate, infrastructure, timber and commodities. OIM's staff are all based in New York and come from over 30 countries. For more information, please visit OIM's website at [www.unjspf.org](http://www.unjspf.org).

### B. Minimum Qualifications

- 1) A minimum of (5) years proven experience in providing advice to (a) pension funds of Governments (Sovereign or State), (b) Multinational Corporations, and other similar large pension funds investing globally;
- 2) An established track record in providing advice to institutional investors including (a) pension funds of Governments, Multilateral Organizations, (b) Multinational Corporations, and other similar large pension funds or entities investing globally;
- 3) Strong professional credentials and qualifications in the investment industry.

## SPECIFIC REQUIREMENTS / INFORMATION (IF ANY)

1. The United Nations is seeking information from potential vendors to understand the capabilities and solutions available in the market for compliance advisory services. The purpose of this Request for Information (RFI) is to gather details about advisory services and capabilities in this domain.
2. The Compliance Advisor would be required to provide advice on comprehensive global compliance, investment compliance and financial services industry best practices.
3. The Compliance Advisor would be required to provide guidance and recommendations from a Compliance perspective on segregation of duties, ensuring checks and balances, and oversight of a broad range of IT matters such as privileged identity management, bring your own device, cybersecurity, and user access.
4. Ad-hoc requests for advice, guidance and analysis.

Please respond to the email provided above ([ricardo.velezcastellon@un.org](mailto:ricardo.velezcastellon@un.org)), the following:

- i) Description of the proposed pricing structure for the compliance advisory services and the costs or fee structure we should be aware of.
- ii) Client References: A list of 3 or more organizations or clients that have retained your services for similar purposes



#### 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.
- Companies are reminded of the restrictions of employment of former UN personnel that were involved in the procurement process during their last three years of service as per [ST/SGB/2006/15](http://www.un.org/Depts/ptd/node/add/interest-expressed?EOI=RFIUNPD22476), including (a) employing those personnel for one year after separation of service and (b) allowing those personnel to communicate with, or appear before, active UN personnel for matters related to the procurement process for two years after separation of service. Violation of the provisions of ST/SGB/2006/15 may lead to suspension of the registration of the company as a UN vendor.

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

<https://www.un.org/Depts/ptd/node/add/interest-expressed?EOI=RFIUNPD22476>

**In case you have difficulties submitting your response electronically, please contact [ricardo.velezcastellon@un.org](mailto:ricardo.velezcastellon@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/securitycouncil/content/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>.



