

OIG Investigations Stakeholder Engagement Model

	OIG	Secretariat	In country
Stage 1 Allegations intake and screening [1-8 weeks] ¹	The screening process is a high-level review of an allegation or report to determine if it is within the OIG mandate, and whether it is credible, verifiable and material.	When necessary, Country Team or technical experts may be contacted to inform the process.	Receipt of allegations will be acknowledged in two working days . The reporter may subsequently be contacted for further details during the screening process. When necessary, the OIG may contact third parties to seek relevant information to inform the process.
SAFEGUARD: Head of PSU and Investigations Manager.			
Stage 2 Investigation [20-70 weeks]	The Investigation stage entails collecting and analyzing relevant information, including through in-country fieldwork or remote missions.	When appropriate, advance notice of missions given to Secretariat. Country Team notified if credible and substantive evidence of fraud or abuse.	Global Fund recipients and (direct or indirect) suppliers have a duty to cooperate with the OIG's request for access and information. They collaborate by providing books and records, as well as access to premises and employees upon request, including during potential OIG in-country visits. When necessary, Local Fund Agents, Country Coordinating Mechanisms and reporters may be contacted directly for more information.
SAFEGUARDS: Unsubstantiated cases: Investigations Manager endorses closure, as recorded in an internal case closure memo. Outcome communicated to relevant stakeholders. Substantiated cases: A Letter of Preliminary Findings (LOPF) is approved and transmitted by Head of Investigations to implicated subject entities or individuals. Secretariat notified of preliminary findings to mitigate immediate risk.			
Stage 3 Review of Preliminary Findings [8-20 weeks]	The OIG provides an LOPF to implicated parties. The OIG will consider any comments or additional evidence provided following the review.	Country Team is informed the case is provisionally substantiated and notified 72 hours in advance that the LOPF will be transmitted in-country.	Implicated parties have 2 weeks to comment on the LOPF.
SAFEGUARD: OIG Management informed of the final case outcome and advises on whether the case is suitable for publication.			
Stage 4 Drafting of Findings [8-10 weeks]	Notice of Findings is drafted when publication is anticipated. Alternatively, where the outcome is deemed not material, a Management Briefing Note will be shared with Secretariat and material observations will be communicated to the AFC and Board, as and where appropriate.	Secretariat notified of the Notice of Findings 72 hours prior to wider circulation. Secretariat has 2 weeks to provide comments on Findings, in parallel with the accountable entities. Secretariat and OIG commence discussion on Agreed Management Actions.	The Notice of Findings is provided to the accountable entity (such as a Principal Recipient), which has 2 weeks to provide comments. In the case of a Management Briefing Note, the relevant stakeholders are informed of the case closure.
SAFEGUARD: Notice of Findings approved by Head of Investigations. 72-hours' notice for Secretariat before Notice of Findings shared in country.			
Stage 5 Reporting [8-10 weeks]	Draft Investigation Report written and Agreed Management Actions finalized.	Secretariat and OIG finalize Agreed Management Actions. 5.1: Secretariat notified of the Report 72 hours prior to wider circulation. Secretariat has 1 week to provide feedback on the draft Report regarding context, tone and balance, in parallel with Country Coordinating Mechanism. Feedback is reviewed and the finalized report is circulated sequentially to the: 5.2: AFC/Secretariat for comments (1 week) 5.3: Board for information (1 week)	5.1: The draft Report, including Agreed Management Actions, is provided to the Country Coordinating Mechanism, which has 1 week to provide comments regarding context, tone and balance.
SAFEGUARD: Head of Investigations and Inspector General approve Investigation Report Audit and Finance Committee (AFC) reviews Investigation Report (1 week) Global Fund Board receives report 1 week before publication			
Stage 6 Post-Reporting Actions	Investigation Report published on the OIG website. Agreed Management Actions tracked.	Secretariat coordinates implementation of Agreed Management Actions	Referrals to National Authorities and anti-corruption bodies when necessary. Reporter is informed that case is now closed and report is published.

¹ All time ranges in this framework are indicative. The Investigations Unit applies a dynamic prioritization methodology to expedite the conclusions of high-priority cases, such as those concerning allegations of sexual exploitation, abuse and harassment (SEAH).