

OIG Investigations Stakeholder Engagement Model

Investigations

	OIG	Secretariat	In country
Stage 1 Allegations, Intake and Screening [1-8 weeks]	The screening process is a high-level review of an allegation or report to determine if it is within the OIG mandate, and if it is credible, verifiable and material. The screening process review may also identify integrity risks that require intervention by Secretariat.	When necessary, Country Team or technical experts may be contacted to inform the process and/or discuss integrity risk prevention measures.	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: Manager, Investigations and Manager, Strategic Insights, Intelligence and Prevention			
Stage 2 Investigation [20-70 weeks]	The Investigation stage entails the collection and analysis of evidence, including through in-country fieldwork or remote missions.	When appropriate, advance notice of missions given to Secretariat. Country Team or equivalent notified if credible and substantive evidence of fraud or abuse and any integrity risks identified.	Global Fund recipients and (direct or indirect) suppliers have a duty to cooperate with the OIG's request for access and information. They cooperate by providing books and records and access to premises and employees upon request, including during potential OIG visits in-country. When necessary, Local Fund Agents, Country Coordinating Mechanisms and reporters may be contacted directly for information.
Safeguards: Unsubstantiated cases - Investigations Manager endorses closure as recorded in an internal case closure memo. Outcome communicated to relevant stakeholders.			
Stage 3 Findings Finalized [12-20 weeks]	OIG provides a Letter of Preliminary Findings (LOPF) to implicated parties. OIG will consider any comments or additional evidence provided in the response. If, following consideration of the responses, the OIG's preliminary findings are substantiated, a Notice of Findings is provided to implicated parties and, if different, the accountable entity (such as Principal Recipient).	Country Team is informed that the case is provisionally substantiated and notified 72-hours in advance that the LOPF will be transmitted in-country. If substantiated, the Secretariat is informed of the findings for consideration of potential remedies.	Implicated parties have 3 weeks to comment on the LOPF and provide any additional evidence. With the receipt of a Notice of Findings, implicated parties and/or accountable entities are referred to the Secretariat for consideration of potential remedies.
Safeguards: Head of Investigations approves the LOPF, and, if substantiated, the Notice of Findings for transmittal to implicated subject entities or individuals. Secretariat notified of findings to mitigate immediate risk. OIG Management informed of the final case outcome and advises on whether the case is suitable for publication.			
Stage 4 Secretariat Reporting [8-10 weeks]	Investigation Report in anonymized form is drafted where 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 has 2 weeks to provide comments on the Draft Investigations Report. Secretariat and OIG commence discussion on Agreed Management Actions	In the case of a Management Briefing Note, the relevant stakeholders are informed of the case closure.
Safeguard: Draft Investigation Report approved by Head of Investigations and Inspector General.			
Stage 5 Board Reporting [4-8 weeks]	Investigation Report 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 in parallel with Country Coordinating Mechanism. Feedback is reviewed and the finalized report is circulated sequentially to the: 5.2: AFC 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 once the Secretariat finalizes decisions on remedies taken. 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 closed and report is published.