

Standard Operating Procedures to accompany the Investigations Stakeholder Engagement Model

Stage 1: Allegation intake screening and allocation

Acknowledgement email to complainant

Who:	Case Administrator from the Inspector General email account
Template:	Email Stage 1.1 ●
What:	Acknowledgement email to complainant
Sender:	Inspector General
Addressee:	Complainant
When:	Within 48 hours of receiving the complaint

Record complaint in CSS

Who:	Case Administrator
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Screen complaint

Who:	Intelligence and Operational Excellence Team
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Open case in CMS or...

Who: Case Administrator
What: Create case file, create folder in Z drive, Tickspot, Perceptive

and allocate case to an investigator

Who: Case Administrator
Template: Email Stage 1.2 ●
What: Notify complainant that the matter has been referred to an investigation team for further review
Sender: Inspector General

...refer to Secretariat or...

Who: Case Administrator from the Inspector General email account
Template: Email Stage 1.3 ●
What: Notify the Country Team of the allegations and possible follow ups
Sender: Inspector General
Addressee: Fund Portfolio Manager
CC: Investigation Manager

Who: Case Administrator from the Inspector General email account
Template: Email Stage 1.4 ●
What: Notify complainant that the matter has been referred to secretariat
Sender: Inspector General
Addressee: Complainant
Next steps: Close allegation in CSS; record possible follow ups with Secretariat in CSS ; add any agreed actions to Team Central

...no further action

Who: Case Administrator from the Inspector General email account
Template: Email Stage 1.5 ●
What: Notify complainant that the matter has been closed and no further action will be taken
Sender: Inspector General
Addressee: Complainant
Next steps: Close allegation in CSS

Stage 2: Initial desk based research

Who: Lead Investigator
What: Investigation Plan

Stage 3: Closure Memorandum

3.1 To the Secretariat

Who: Case Administrator from the Inspector General email account
Template: Email stage 3.1 ●
What: Case closure memo and relevant information
Sender: Head of Investigations
Addressee: Grant Management Department Head, Country Team, Grant Management Audit Monitoring Officer
CC: Head of Investigations

3.2 To the complainant

Who: Case Administrator from Inspector General email account
Template: Email stage 3.2 ●
What: Notification to complainant
Sender: Inspector General
Addressee: Complainant
Actions: Create case file, create folder in Z drive, Tickspot, Perceptive

Stage 4: Mission

Sender: Lead Investigator
Who: Lead Investigator
What: Mission Plan, Travel Safety and Security form
Actions: Secretariat notified if there is credible evidence

Stage 5: Drafting and review of findings

Stage 6: Facts and Accuracy Check

6.1 To the Secretariat

⚠ 72 hour Secretariat Review

Who: Lead Investigator
Template: [Email stage 6.1](#) ●
What: Letter of findings (watermarked)
Sender: Lead Investigator
Addressee: Grant Management Division Head, Country Team, Legal Counsel, Grant Management Audit Monitoring Officer
CC: Inspector General email account, Head of Investigations, Investigations Manager, Lead Investigator
When: 3 days before sending to the subject(s) of the investigation
Subject: Facts and accuracy check - Investigation title - (Secretariat review)

6.2 To the subject

Who: Case Administrator from Inspector General email account
Template: [Email stage 6.2](#) ●
What: Letter of findings (watermarked)
Sender: Head of Investigations
Addressee: Subject(s) of the investigation
CC: Grant Management Division Head, Country Team, Legal Counsel, Grant Management Audit Monitoring Officer
Subject: Facts and accuracy check - Investigation title
Actions: Forward to relevant OIG staff

Stage 7: Report Consolidation

Stage 8: Checking context, tone and balance

8.1 To the Secretariat

⚠ 72 hour Secretariat Review

Who: Lead Investigator
Template: [Email stage 8.1](#) ●
What: Draft report (watermarked)
Sender: Lead Investigator
Addressee: Grant Management Division Head, Country Team, Legal Counsel, Grant Management Audit Monitoring Officer
CC: Head of Investigations, Investigations Manager, Lead Investigator, Inspector General email account
When: 3 days before report is sent to the Country Coordinating Mechanism for Stage 8.2
Subject: Checking context, tone and balance - Investigation title - (Secretariat review)

8.2 with Country Coordinating Mechanism

Who: Case Administrator from the Inspector General account
Template: [Email stage 8.2](#) ●
What: Draft report (watermarked)
Sender: Head of Investigations
Addressee: Country Coordinating Mechanism
CC: Grant Management Division Head, Country Team, Legal Counsel, Grant Management Audit Monitoring Officer
Subject: Checking context, tone and balance – Investigation title
Actions: Forward to relevant OIG staff

Stage 9: Final safeguards

9.1 to the Audit and Ethics Committee

Who:	Front Office from Inspector General email account
Template:	Email stage 9.1 ●
What:	Final report with AEC watermark
Sender:	Inspector General
Addressee:	Audit and Ethics Committee, Management Executive Committee
CC:	Audit and Ethics Committee Focal Point in the Office of Board Affairs, Country Team, Legal Counsel, Grant Management Audit Monitoring Officer, Head of Investigations, Investigations Manager, Lead Investigator
Subject:	Investigation title

9.2 to the Board

Who:	Front Office
Template:	Email stage 9.2 ● with link to the report through the Board extranet
What:	Final report with publication date
Sender:	Office of Board Affairs
Addressee:	The Board
Subject:	Investigation title

Publication process

- Secretariat Communications Web Team publish on the website
- OIG Communications Specialist prepares web statement for 'Updates' section
- OIG Communications Specialist sends notice of publication to relevant stakeholders (partners, Local Fund Agents...)

Stage 10: Agreed actions tracking

Notify the complainant the case is now closed.

Who:	Case administrator from the Inspector General email account
Template:	Email stage 10 ●
What:	Notify complainant that case is closed
Sender:	Inspector General
Addressee:	Complainant
When:	After the report has been published

Agreed actions to be added in Team Central

Who:	Case Administrator
When:	When the case closure memo has been issued or the report has been published