

Substantive Analysis Form for complaints/allegations

Registration number ≠:

Date (.../.../....)

Short description of main evidence and main irregularities contained in the complaint

1. Has the OI already assessed the issue and this submission provides no new evidence? YES NO

2. Has the OI already investigated/taken enforcement action on the issue? YES NO

3. Are elements of information contained in the complaint sufficiently substantiated to lead to further action/ pursuit YES NO

Use tables below

Indicators	Indexes			Additional information or explanation (if needed)
	1	2	3	
Severity of the violation				
Number (once, repeated, multiple cases).				
People involved (number, identity, capacity)				
<i>Financial impact</i> (low, medium, high)				
Severity of violation (sum of previous indexes)				
Source(s) of information				
Reliability of the source of information				
Accuracy of information provided				

Severity of violation (sum of previous indexes)				
Proposed further actions				

1/ Severity of violation

Indicators	1	2	3
Number (once, repeated, multiple instances).			
People involved (number, identity, capacity)			
<i>Financial impact (low, medium, high)</i>			
Severity of violation (sum of previous indexes) out of 9			

2/ Sources of information

Indicators	1	2	3
Reliability of the source of information			
Accuracy of information provided			
Severity of violation (sum of previous indexes) out of 6			

3/ Substantive analysis: determination of further actions to take

Severity of violation	1	very low	low	moderate
	2	low	moderate	high
	3	moderate	high	very high
		1	2	3
		Source of information		

Very high	Immediate action required - referral / launch of an investigation; 1/ Seeking further information or clarification from the complainant 2/ Making initial and limited inquiries of the subject through administrative proceedings
High	Action required - potential referral / launch of an investigation 1/ Making initial and limited inquiries of the subject 2/ Considering information freely available in the public domain. This would include, for example press articles and relevant websites
Moderate	Elements to consider while reviewing the corresponding financial report(s) + Considering information freely available in the public domain. This would include, for example press articles and relevant websites
Low/ Very low	No actions needed

Substantive Analysis conducted by.....
(position, name)

Proposed actions to be taken:

- Dismissal of the complaint
- Consideration of the complaint during review process
- Launch of an investigation

Date: Signature: