

INVESTIGATION PLAN CHECKLIST

☒ Steps	Notes
PLANNING	
Discloser and Designated Officer names, date, file #, other key information	
The disclosure(s) made under PIDA with relevant section(s) cited and other relevant rules cited	
A summary of allegations and key issues in disclosure I will investigate	
Focus of investigation – what will I investigate? What will I decline to investigate, and why?	
My overall approach to obtaining evidence – document review? Witness interviews? Site visits? Expert opinion? Other?	
Interview the discloser about the specifics of the allegation and suggested witnesses <i>(Manage expectations)</i>	
Reprisal risk assessment, urgency assessment if indicated	
Identify/address any anticipated problems in gathering evidence <i>(e.g., reluctance to participate in investigation, document destruction, risk of witness collusion, delays, employees/witnesses leaving the public service)</i>	
Estimate timeline for completion	
Investigation communication protocols <i>(When and to whom to communicate with?)</i>	
List of evidence needed: <ul style="list-style-type: none"> • where is it and who is the custodian • strategy to obtain it 	
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List of witnesses: <ul style="list-style-type: none"> • management officials (listed by name or position) and the issues to address • non-management and unionized individuals (listed by name or position) and the issues to address • witnesses suggested by discloser (unless it's deemed their evidence would not advance the investigation – make notes about why) • use discretion to decide if and when to interview the alleged wrongdoer(s) 	

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OBTAIN RECORDS	
Prepare requests for/obtain documents and other evidence	
Review documents and other evidence received, conduct own research	
INTERVIEWS	
Decide sequence and timing of interviews	
Arrange neutral interview venue, recording method and any necessary equipment, personnel	
Prepare notice to witnesses inviting to interview; conduct reprisal risk re-assessment and notify discloser/witnesses/respondent(s) as indicated <i>(Reconsider reprisal risk assessment)</i>	
Identify and address reasonable accommodations requested by witnesses	
If third party attending, prepare confidentiality agreement, if using	
Prepare interview opening script and interview question guide	
Conduct interviews	
ADDITIONAL EVIDENCE & ANALYSIS	
Consult outside experts/resources if applicable	
Conduct on-site inspection (prior agreed upon date) if appropriate <i>(Reconsider reprisal risk assessment)</i>	
Conduct analysis	
CONCLUDE INVESTIGATION & REPORT	
Make decision – does the body of evidence support a finding of wrongdoing?	
Formulate finding(s) and recommendation(s) for wrongdoing and/or other deficiencies	
Draft the investigation report and notify potentially affected parties <i>(Review sample notice letters; consider risk reprisal assessment)</i>	
Review any responses from potentially affected parties; record reasons for rejecting any submissions	
Finalize report and submit to Chief Executive or alternate	
Write Summary Report and provide to appropriate persons <i>(Reconsider reprisal risk assessment)</i>	
Ensure completeness of investigation file and close it	