

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	Manage expectations
	Reprisal risk assessment, urgency assessment if indicated	
	Identify/address any anticipated problems in gathering evidence	e.g., reluctance to participate in investigation, document destruction, risk of witness collusion, delays, employees/witnesses leaving the public service
	Estimate timeline for completion	
	Investigation communication protocols	When and to whom to communicate with?
	List of evidence needed: <ul style="list-style-type: none"> • where is it and who is the custodian • strategy to obtain it 	
	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) 	
OBTAIN RECORDS		
	Prepare requests for/obtain documents and other evidence	
	Review documents and other evidence received, conduct own research	

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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	Reconsider reprisal risk assessment
	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	Reconsider reprisal risk assessment
	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	
	Write preliminary report and notify potentially affected parties	Review sample notice letters; consider risk reprisal assessment
	Review any responses from potentially affected parties; record reasons for rejecting any submissions	
	Finalize report and submit to Chief Executive or alternate	
	Write Summary Outcome Report and provide to appropriate persons	Reconsider risk reprisal assessment
	Ensure completeness of investigation file and close it	