# **INDEX**

# ALTERNATIVE DISPUTE RESOLUTION, 91-92

```
ASSESSING EVIDENCE
admissibility, 385-401
expert/forensic evidence, 404-406
investigator bias, avoiding, 406-409
Legal Aid Ontario funding investigation, 402-404
relevance issue, 386-388
reliability issue, 388-399
sufficiency issue, 399-401
CASE ASSESSMENT
decisions re, characteristics of, 104
discretion factor, 103
generally, 103
template. See CASE ASSESSMENT TEMPLATE
CASE ASSESSMENT TEMPLATE
actions taken, 113
compelling circumstances cases, 111-113
complaint summary, 105-106
    background, 106
    facts, 106
    narrative form, 105
Early Resolution Officer, role of, 117
egregious/emergency circumstances cases, 111-113
issues raised by complaint, 106-107
jurisdiction, 107-110
    cross-jurisdictional boundaries, 110
    disputes re, 108
    Mustard Gas Case, 108-110
next steps/follow-up action, 116-117
rationale for action taken, 114-116
    con factors, 114-116
    flexibility, 116
    pro factors, 114
    stakeholder perceptions, weighing, 116
```

#### CASE ASSESSMENT TEMPLATE — continued

readiness/suitability of complaint for investigation, 110-111 recommendation, 113 sufficiency of information for decision, 111 when complaint is not investigated, 117-118

# CHALLENGES. See INVESTIGATIONS, DEALING WITH DIFFICULT CONDUCT

Comeau-D'Orsay, Christopher, case of, 66-70
Commissioner Shoan story, keeping an open mind investigation unfair, 60 investigative findings, 58-59 judicial review, 59-60 open mind, investigator, 60 review and remedy, 59 what court looked at, 60-66 factual accuracy, 76 factual completeness, 74 generally, 57-58 instant expertise requirements, 71-73 keeping an open mind, 58-66 last resort syndrome, 73 motive issues, 74-76

# COMPLAINTS. See CASE ASSESSMENT TEMPLATE

## CONDUCTING INTERVIEWS. See INTERVIEWS, CONDUCTING

CRAZY TRAIN CASE, 376-381

thoroughness requirement, 70-71

### **CULTURAL CONSIDERATIONS**

cultural considerations, defined, 440 diverse communities, defined, 440 generally, 435, 448 investigative process, steps and considerations, 441-446 advice and guidance, 443-444 confidentiality, 444 credibility, assessing, 296-297, 445-446 deference to authority, culture of, 446 distrust, culture of, 446 generally, 129 interviewing, 444-445 language barriers, 446

# CULTURAL CONSIDERATIONS — continued investigative process, steps and considerations — continued not complaining or criticizing, culture of, 446 showing respect, 443 support, access to, 446 training for investigators, 442-443 triage/intake, 441-442 investigator bias, 447 investigator mistakes, 447-448 Mishkeegogamang Ojibway First Nation case, 435-439 resolution, 447 translation, 447 DIGITALLY STORED EVIDENCE altering evidence, 320-321 CCTV, 319-320 Cloud, 322 computer forensics, 330 confidentiality, 326-328 dealing with massive amounts of documentation in digital form, 362-363 digital footprints, 325-326 Dunphy case, 315-319 e-discovery, 363-364 electronic utterances, 316-317 emails, 330, 361-362 experts, use of in retrieving digitally stored data, 331, 338-339 generally, 313-315, 339 GPS, 319-320 Hamilton Railroad Service case, 332-334, 335, 338 hidden or deleted data, 331 importance of, 335-337 Internet of Things, 326 McDonald's case, 311-312 objectivity, 318 scope of investigation, 338 security, 326-328 sensitive data, dealing with, 328 servers, 321-324 social media, 328-330, 332 systemic issues, 318

thoroughness in obtaining evidence, 317-318, 325-326

#### DISABILITY ADJUDICATION UNITY CASE, 456-464

```
DOCUMENTING AN INVESTIGATION
case management systems, 496-497
digital notes, 494
generally, 489-490, 497-498
integrity, 492-493
interviews, 494
investigative work product beyond notes, what to keep, 494-496
keeping a record, 491
note-taking practices, 491
protection of notes, 491-492
publication of notes, 493
retention, 497
scanning, 494
security, 497
DOCUMENTS
archiving and disposal, 366-367
copies, 365
digitally created and stored documents
    dealing with massive amounts in digital form, 362-363
    emails, 361-362
e-discovery, 363-364
experts, use of, 354-355
"Fontgate", 354
generally, 341-342, 368
interviews, documents available during, 365
newborn screening case, 350-352
process for dealing with
    gathering documents, 344-349
    identifying relevant documents, 342-344
    looking for gaps, 359-361
    reading documents, 350-358
    understanding content, 358-359
remote working and security, 365-366
```

security, 365-366

weight given to document, assessment, 367-368

## EARLY RESOLUTION OFFICER, 117

ELGERT v. HOME HARDWARE, 144-164, 174-175

#### **EVIDENCE**

assessing. See ASSESSING EVIDENCE digitally stored. See DIGITALLY STORED EVIDENCE documentary. See DOCUMENTS, DIGITALLY STORED EVIDENCE evidence-based assessments, 467 gathering, 100 physical. See PHYSICAL EVIDENCE sources. See INVESTIGATION PLAN TEMPLATE

#### **EXPERTS**

assessing evidence of, 404-406 computer forensics, 330-331 examination of evidence, 321, 324, 383 instant expert, investigator as, 16, 34, 38, 58, 71-73, 136, 358, 447

#### **FORENSIC**

computer forensics, 330-331

# HARASSMENT INVESTIGATIONS. See also WORKPLACE MISCONDUCT INVESTIGATIONS

ten-step approach, 94-101
case assessment, 94-95
evidence gathering, 100
information, provision of, 100
issues, identification of, 97
minimizing publicity, 99
objective assessment, 100
planning of investigation, 98
resource allocation, 99
selecting investigator, 95-96
trained and experienced investigators, 96-97

#### **INDEPENDENCE**

importance of. See PRINCIPLES OF INVESTIGATION

"INSTANT EXPERT", INVESTIGATOR AS, 16, 34, 38, 58, 71-73, 136, 358, 447

# INTERNET AS INVESTIGATIVE TOOL

corroboration and verification, 514-515
ethics, 513-514
G20 Summit, Toronto, 502-504
generally, 499-502, 515
online searches
beyond Google, 507
directories, 508
generally, 504-506
planning search, 507-508
translation tools, 508
online tools, 512-513
preserving evidence, 511

social media, 508-511

## INTERVIEWEES, ASSESSING CREDIBILITY

generally, 294-295, 299-300 tools body language, 296-298, 445 polygraphs, 298-299 Scientific Content Analysis (SCAN), 298

techniques designed to detect deception, 299

#### INTERVIEWING, PRINCIPLES OF

active listening, 200
controlling the process, 199-200
objectivity, 196-199
preparation
colleagues, opinions of, 183
example, 184-192
generally, 179, 180, 192
homework, 181
mock interviews, 192
social media and other internet research, 182-183
visiting site of incident, 181-182
witness's shoes, investigator in, 183-184
rapport, establishing, 192-193
thoroughness, 193-195

#### INTERVIEWS, CONDUCTING

common mistakes, 277-278 explaining process, 252-253 generally, 249, 278-279, 301, 310 information provided "off the record", 275

# INTERVIEWS, CONDUCTING — continued interviewing people in positions of power, 275-277 length of interview, 274-275 number of interviewers generally, 250-251 lead and second interviewer, 253-254 post interview, 273 quality control checklist, 309-310 recording audio-recording, 283-288, 288-294 composite statement, 281-282 consent to, 254, 288-289 note-taking, 281 verbatim, 283 videotape, 283 second interviews, 273 skills of good interviewers, 249-250 stages of interview, 254-272 techniques, 304-305 treatment of interviewee, 251-252 tricks of the trade, 305-308 uncooperative witnesses, 301-304 well-being of interviewer and interviewee, 308-309 INTERVIEWS, DECIDING WHO Elgert v. Home Hardware, 174-175 generally, 165-169, 178 locating witnesses, 172-174 Tessier v. Nova Scotia (Human Rights Commission), 175-178 traffic collision analogy, 169-172 INTERVIEWS, SETTING UP appropriate attire, 246 cultural considerations, 240. See also CULTURAL CONSIDERATIONS generally, 223 having someone present, 238-240 initial contact, 226-228 interruptions, 246 interview room, 243-244 location, 228-234, 247 materials ready, 247 notice, how much, 234-235 order of interviews, 224-226 pre-interview information for interviewee, 235-238

## INTERVIEWS, SETTING UP — continued

questions in advance, 243 recording interview, 241-243 technology, turning off, 246-247 when to interview, 223-224 who conducts interview, 244-246

#### **INTERVIEWS, TYPES**

deciding which type, 208-209 email, 207 face-to-face, 201-202 group, 212-213 pre-interview interviews, 209-211 self-administered, 211-212 telephone, 203-204 text and social media, 208 trauma informed, 217-221 virtual, 202-203 vulnerable witnesses, 213-217 written questions/interrogatories, 205-207 written statements, 204-205

#### INVESTIGATION PLAN TEMPLATE

completion date, estimated, 141-143 flexibility, 142-143 issue creep, 141-142 length of plan, 143 communications, internal and external, 137-139 described, 120-121 Elgert v. Home Hardware, 144-164 evidence, approach to gathering, 122-123 evidence, sources of, 123-124 documentary evidence, 124 digitally stored evidence, 124 laws, standards, policies, procedures, applicable, 123 physical evidence, 124 witnesses, 123-124 extraordinary investigative techniques, 131-132 information, other, 139-140 larger investigations, potential issues, 133-134 milestones, 140-141 personel, required, 136-137 problems that may arise during investigation, 125-131 culture, language, capacity, 129-130

# INVESTIGATION PLAN TEMPLATE — continued problems that may arise during investigation — continued evidence, destroying or tampering with, 127 formal powers, need to exercise, 127-128 lack of cooperation, 125-126 reprisal, fear of, 126-127 surprise visit, need for, 128 witnesses collusion, 129 geographic location of, 131 interviewing in specific order, 130 resource requirements, 135-137 representatives and support persons, 133 start date, estimated, 140 third parties, involvement of, 132-133 timelines, 140-141 what is being investigated, 121 **INVESTIGATIONS** case assessment. See CASE ASSESSMENT challenges. See CHALLENGES difficult conduct. See INVESTIGATIONS, DEALING WITH DIFFICULT **CONDUCT** generally, 7-9 harassment. See HARASSMENT INVESTIGATIONS planning, 119-120 principles of. See PRINCIPLES OF INVESTIGATION systemic. See SYSTEMIC INVESTIGATIONS virtual. See VIRTUAL INVESTIGATIONS workplace misconduct. See WORKPLACE MISCONDUCT **INVESTIGATIONS** INVESTIGATIONS, DEALING WITH DIFFICULT CONDUCT Caplan v. Atas, an extreme case, 518-519 case study, 519-521 generally, 517, 522-523 querulant characteristics, 521-522 defined, 517-518 tips for dealing with querulants, 523-525 **ISSUES** primary vs. secondary, 121 raised by complaint, 106-107

ISSUES — *continued* systemic. *See* SYSTEMIC INVESTIGATIONS thorough identification of, 37-41 workplace misconduct, 97

JURISDICTION. See CASE ASSESSMENT TEMPLATE

LEGAL AID ONTARIO FUNDING INVESTIGATION, 402-404

MISHKEEGOGAMANG OJIBWAY FIRST NATION CASE, 435-439

MUSTARD GAS CASE, 108-110

NEWBORN SCREENING PROGRAMME CASE, 350-352

ONTARIO LOTTERY AND GAMING CORP. INVESTIGATION, 469-475

#### PHYSICAL EVIDENCE

authenticity, 382 continuity (chain of custody), 382 Crazy Train case, 376-381 expert examination, 383 generally, 369, 375, 383-384 original items, 382 preservation, 382 restoration, 383 scene/site visits, 369-375 securing of, 19-20, 45-46 seizing, 381-382 sources of, 124

## PLANNING INVESTIGATION

generally, 119-120

template. See INVESTIGATION PLAN TEMPLATE

#### PRINCIPLES OF INVESTIGATION

analysis, objective, fact-based, 22, 46-48 application of principles, 31-54 digitally stored evidence, securing of, 18-19, 45-46 documentation, securing and reviewing, 20, 46-48 generally, 7-9, 55 independence, maximum possible, 9-12, 31-34 conflict of interest issue, 11

```
PRINCIPLES OF INVESTIGATION — continued
independence, maximum possible — continued
    hallmarks of, 10
    seriousness of allegation and, 11
issues, thorough identification of, 16, 37-41
physical evidence, securing of, 19-20, 45-46
poor investigation, consequences of, 54-55
procedural fairness, and
    case study, 23-30
    generally, 22-23
resources of investigation, 16-18, 41-45
training and experience of investigators, 13-16, 34-37
witnesses, identifying and interviewing, 20-22, 49-52
REPORT WRITING
covers, 431
follow-up investigations, 420-421
framework, 411-412
generally, 411
investigative report structure, Elgert case, 412-415
IRAC method (Issue, Rule, Analysis, Conclusion), 415-417
    analysis, 416-417
    conclusion, 416-417
    example case, 417-418
    issue, 415, 416
    rule, 415, 416
recommendations, 418-419
tips
    accuracy, 423
    clarity, 425-426
    conclusion, refer to, 428
    confidentiality, 430
    credit, 430
    do nots, 430-431
    early drafts, 429
    editing, 427
    executive summary, 428-429
    know audience, 421-422
    narrative, 427
    objectivity, 424
    purpose, 422
    quotes, 427
    reading aloud, 430
    reasoning, transparency in, 424-425
```

#### REPORT WRITING — continued

tips — continued
relevance, 423
short cuts, 431
thoroughness, 423
understand evidence, issues, 422
titles, 431

#### **RESOURCES**

allocation, 99 estimated requirements, 135-137 investigation's, 41-45 judicious use of, 462

# SETTING UP INTERVIEWS. See INTERVIEWS, SETTING UP SITE VISITS

field investigation – Toronto tree maintenance, 373-375 generally, 369 identifying and collecting physical evidence, 369-370 identifying other evidence, 370-371 interviews, conducting, 371 more than one scene, 370 safety, 370 unannounced visits, 371-373

### SOCIAL MEDIA

generally, 328-330, 332 interviews, 182-183, 208 investigative tool, as, 508-511

# SPECIAL OMBUDSMAN RESPONSE TEAM. See SYSTEMIC INVESTIGATIONS

# SYSTEMIC INVESTIGATIONS

avoidance excuses, 484-487
case study, 451-453
decision, speed requirement, 464
Disability Adjudication Unit case, 456-464
generally, 449-451, 454
Hydro One investigation, 475-480
Marin, André, 464
Military Ombudsman, activities of, 464-466
national inquiries, 480-484
Special Ombudsman Response Team (SORT), 464-480

```
SYSTEMIC INVESTIGATIONS — continued
Special Ombudsman Response Team (SORT) — continued
    advantages of
        cost savings, 481-482
        credibility and public awareness, 482
        effectiveness, 482
        galvanizing bureaucracy, 482
        pride, 482
        results, 481
        SORT as internal resource, 482
    caseload limit, 483-484
    disadvantages of
        elitism perception, 483
        individual complaints, effect on, 483
    features of
        dedicated team, 466-467
        evidence-based assessments, 467
        follow-up, 469
        methodology, 467-469
    generally, 464-466
    Hydro One investigation, 475-480
    OLG investigation, 469-475
systemic case described, 449-451
Systemic Issue Identification Template, 454-464
    chart, 455-456
    disability adjudication, Lyndsey Aukema case, 456-464
    fact-gathering process, difficulty, 461-462
    generally, 454
    issue identification template, 455-456
    issues, 457-458
    informal resolution, possibility of, 462
    possible systemic implications of issue, 458
        clearly apparent issues, 458
        number of persons potentially affected, 458-459
        policy/process aspects of issue, 458
    public interest in investigation, 459-461
        compelling circumstances, 460
        duplication potential, 461
        egregious injustice, whether, 459-460
        limitations, 461
        significant recommendations criterion, 460
    resources, whether judicious use of, 462
    sensitivity/high profile nature of case, 459
```

TESSIER v. NOVA SCOTIA (HUMAN RIGHTS COMMISSION), 175-178

```
VIRTUAL INVESTIGATIONS
generally, 541-542, 549
interviewing virtually
    attire and décor, 545-546
    confidentiality, 545
    courtesy, 548
    credibility, 548
    generally, 542
    planning, 542-544
    presence of non-parties, 546-547
    rapport, building, 544-545
    witness interference, 547
tips, 549
WHISTLEBLOWERS
dealing with
    confidentiality, 533-537
    credibility, 530-533
    generally, 530
    investigative considerations, 537-540
generally, 527-528, 540
Governor General case, 527-528, 533
policies, 528
valuable resource, 528-529
WITNESSES
expert, 404-406
identifying and interviewing, 20-22, 49-52
source of evidence, 123-124
vulnerable, 213-217
    children and young persons, 215
    generally, 213
    intimidated witnesses, 215-216
    literacy, 215
    mental fitness/developmental disabilities, 214-215
    physical fitness, 213-214
    retaliation, fear of, 216-217
```

## WORKPLACE MISCONDUCT INVESTIGATIONS

case study, 85-89 deciding whether to investigate harassment cases

```
WORKPLACE MISCONDUCT INVESTIGATIONS — continued
deciding whether to investigate harassment cases — continued
    Dupont, Lori, 92-94
    generally, 91-92
generally, 77
"special" investigations, 77-85
    assessing emotional/psychological harm, 81
    bias/neutrality perceptions, 78
    confidentiality, 81-82
    costs, 83
    deciding whether to investigate, 84-85
    disclosure of allegations, 80
    expectations of courts and tribunals re conduct of investigation, 84
    factors, 78
    "he said/she said", 79
    performance management or harassment, 79-80
    power imbalance, 79
    reprisals, fear of, 82
    separation of parties, 81
    what is at stake, 78
    workplace disruption, 82-83
ten-step approach, 94-101
    case assessment, 94-95
    evidence gathering, 100
    information, provision of, 100
    issues, identification of, 97
    minimizing publicity, 99
    objective assessment, 100
    planning investigation, 98
    resource allocation, 99
    selecting investigator, 95-96
    trained and experienced investigators, 96-97
Work Place Harassment and Violence Prevention Regulations, 89-90
workplace misconduct, defined, 77
```