

# 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  
thoroughness requirement, 70-71

COMPLAINTS. *See* CASE ASSESSMENT TEMPLATE

CONDUCTING INTERVIEWS. *See* INTERVIEWS, CONDUCTING

CRAZY TRAIN CASE, 376-381

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

