



Guidelines for conducting successful Investigations

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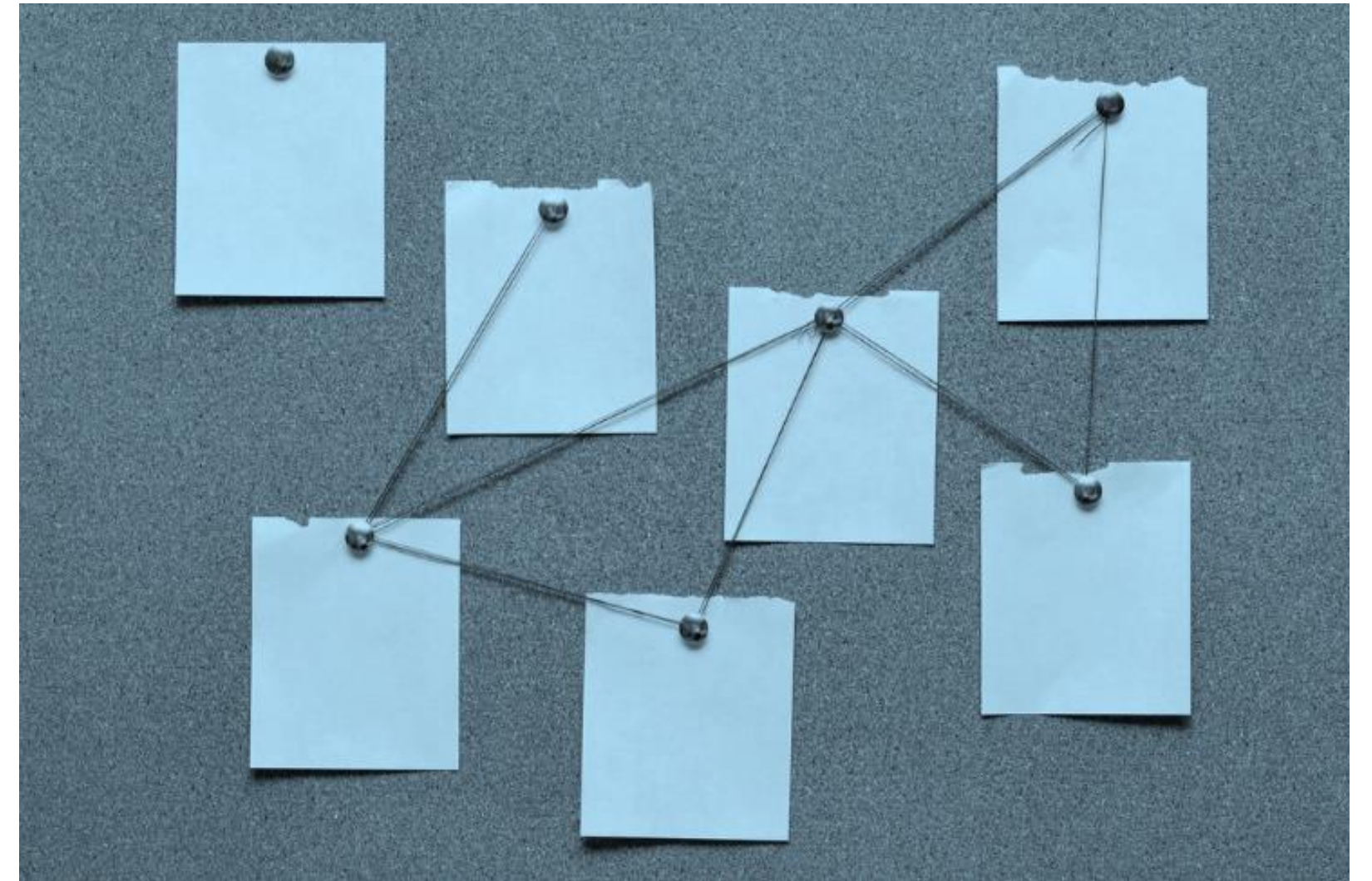
Framing your issue

- Focused and targeted
- Stay in your lane - what's your mandate?
- Don't duplicate



Prepare an investigation plan

- ✓ Why plan?
- ✓ What's in a plan?
- ✓ Reassess and update



Outline your investigative strategy

- Organize and execute the fact-gathering
- Overall game plan



Sources of evidence

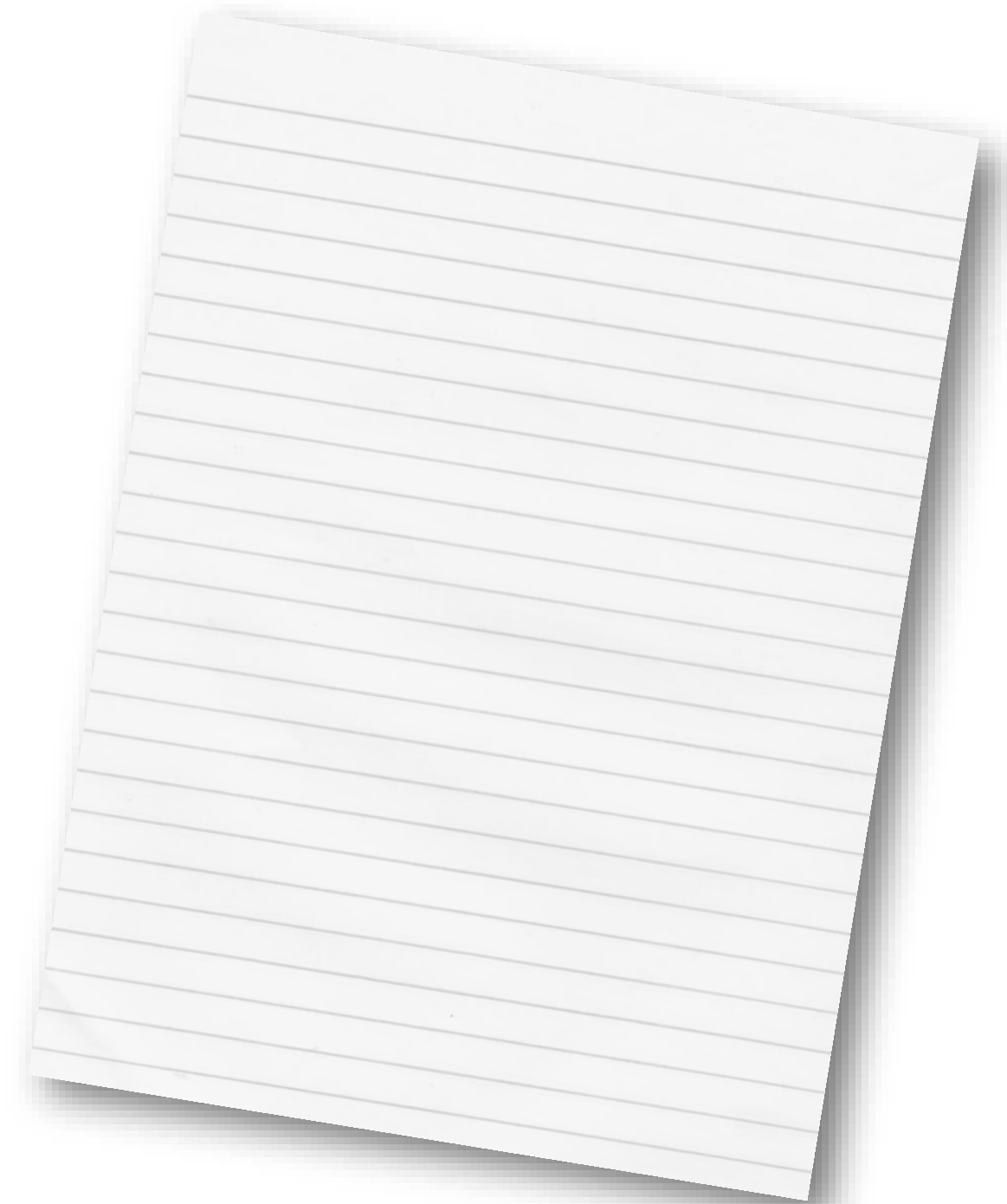
- Applicable laws, policies and procedures
- Internal memoranda, directives, guidelines
- Email and correspondence on the issue
- Interviews:
 - ✓ Agency/government officials
 - ✓ Complaints and witness interviews
 - ✓ Stakeholder interviews



The “wish list”

Letter asking for documents relevant to an investigation

- Determine who has the documents
- Ask for everything relevant
- Set a deadline (but allow for flexibility!)
- Use the right terminology
- Appoint a contact person for follow-up
- No redacted documents
- “Any other relevant information” clause



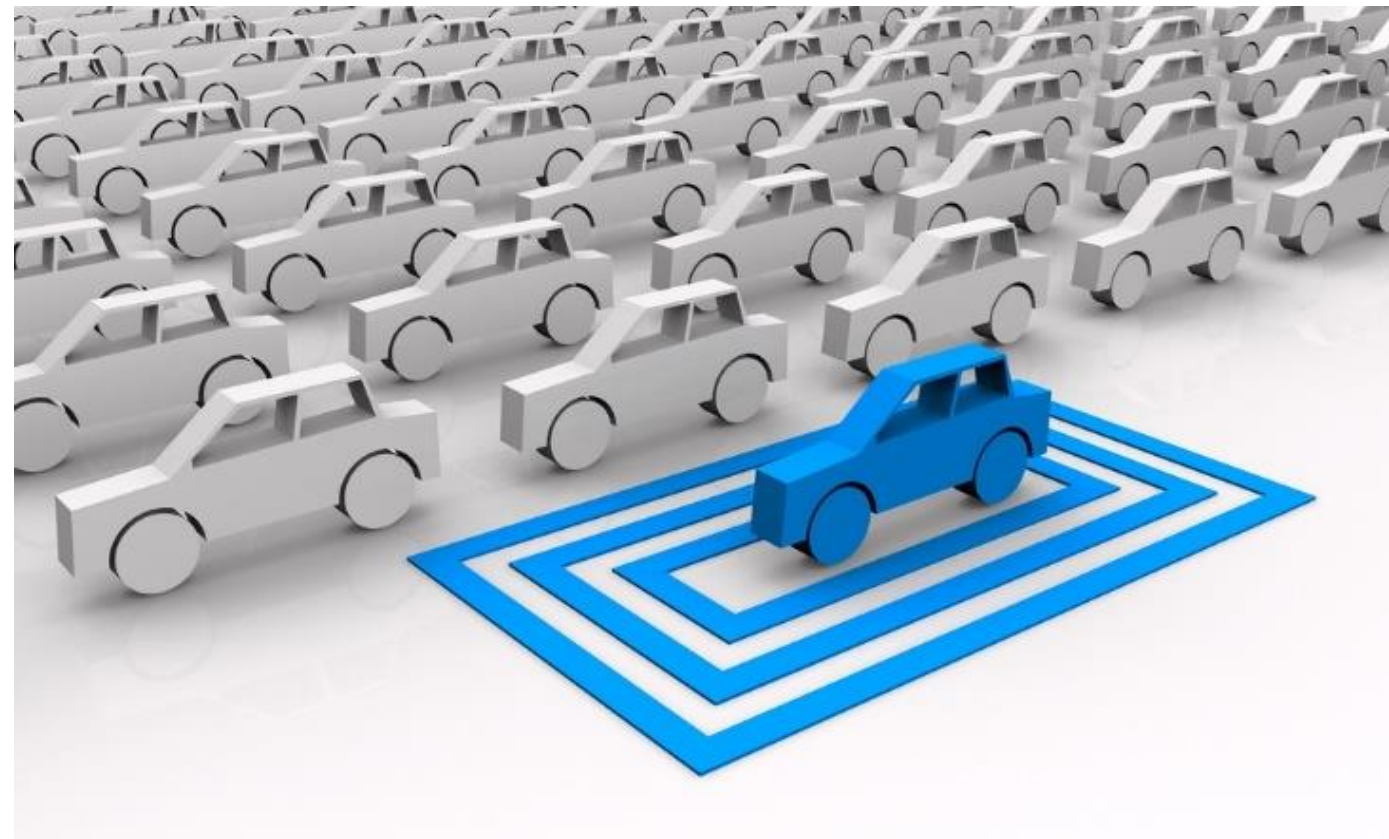
Management of evidence

- Digital/electronic evidence
- Physical evidence
- Document dumps



Avoid “issue creep”

- New issues may arise during the investigation
- ‘Park’ emerging issues



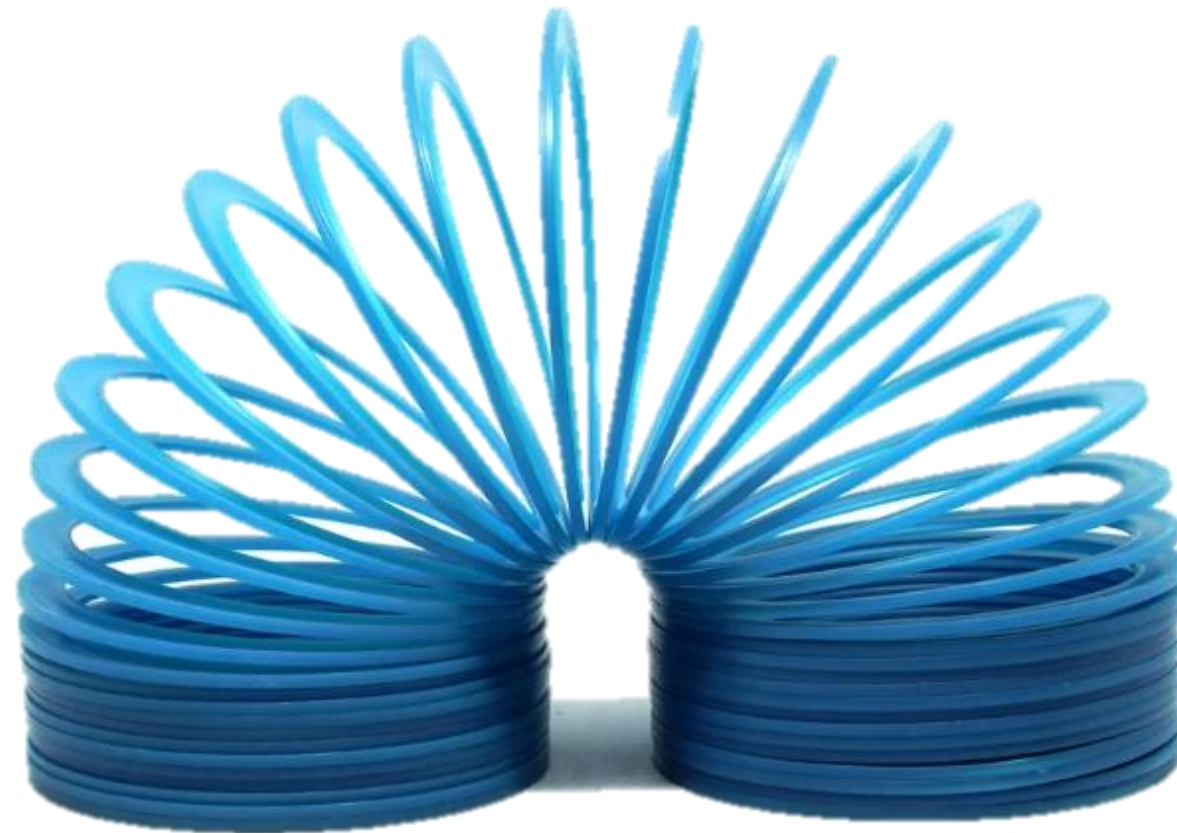
Special considerations

- Managing expectations
- Moving targets
- Co-operation issues
- Fear of reprisal
- Whistleblowers



Flexibility

- All investigations are unpredictable



SMART Recommendations

- **Specific** – Numbered, address single issue
- **Measureable** – Worded so as to make assessment possible
- **Achievable** – Recommended outcome should be reasonable and within power of the body
- **Results-oriented** – Recommendation should clearly identify action to be taken
- **Time-bound** – Recommendations should include a timeline for implementation or follow-up



Follow-up



- Monitor implementation of recommendations
- Build on rapport established during investigation
- Form and frequency of progress reports
- What satisfies 'implementation' of a recommendation?
- Differences of opinion





Questions?



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