**Investigation Plan**

**Investigation under the *Public Interest Disclosure (Whistleblower Protection) Act***

Prepared by: Click or tap here to enter text.

Date: Click or tap to enter a date.

Ref: Click or tap here to enter text.

**BACKGROUND** *(Provide a background of the disclosure of wrongdoing, the nature of the allegations and the parties involved)*

Click or tap here to enter text.

**TERMS OF REFERENCE***(Document the internal policies and procedures that apply to the management of investigations under the Act, and identify the specific issues under investigation)*

 ***Enabling legislation***

*Public Interest Disclosure (Whistleblower Protection) Act,* SA 2012 P-39.5 (the Act)

*Public Interest Disclosure (Whistleblower Protection) Regulation*, AR 71/2013 (the Regulation)

***Internal Policy (Established under section 5 of the Act)***

Click or tap here to enter text.

***Scope of Investigation***

The issues of this investigation are:

Click or tap here to enter text.

**ROLES AND RESPONSIBILITIES** *(Document the persons who will be involved in the investigation and their specific roles and responsibilities. This may include internal auditors, external investigators, legal counsel, or subject matter experts. Persons may only become involved in investigations under the Act at the request of the designated officer or chief officer.)*

***Designated Officer***

1. Conduct the investigation or oversee the investigation where other staff are tasked by the designated officer to assist.
2. Assess the investigative findings and make a decision, based on a balance of probabilities, as to whether wrongdoing has occurred.
3. Prepare an investigation report for the Chief Officer outlining the findings and recommendations for corrective measures, if any.
4. Inform the alleged wrongdoing of the decision and reason for the decision.
5. Notify the individual who made the disclosure of the conclusion of the investigation and provide the individual with any information considered appropriate in the circumstances.
6. Report the outcome of the investigation to the Public Interest Commissioner where the disclosure was referred by the Commissioner under section 15.1(5) of the Act.

***Other personnel and subject matter experts required***

Click or tap here to enter text.

**INVESTIGATION PLAN** *(Document an initial strategy for undertaking the investigation including when parties will be notified, the records needed for the purpose of the investigation, the types of analysis required and persons to be interviewed.)*

***Notification of parties***

Click or tap here to enter text.

***Initial records required***

Click or tap here to enter text.

***Supplemental records that may be required***

Click or tap here to enter text.

***Required analysis***

Click or tap here to enter text.

***Persons to be interviewed***

Click or tap here to enter text.

**CONFLICTS OF INTERST** *(Document any perceived conflicts of interest and how those issues will be addressed. For example, if an alternate designated officer was appointed due to a perceived conflict of interest)*

Click or tap here to enter text.

**ADDITIONAL CONSIDERATIONS** *(Document any extraordinary considerations in the management of the investigation. For example, if there are specific internal sensitivities, or if the matter has garnered public attention.*

Click or tap here to enter text.

**TIMELINES** *(Document specific dates for notifying parities and reporting the outcome of the investigation that conform with legislative and policy requirements. Include planning if extensions of time may be required. Establish milestones, if appropriate, to help manage timelines.)*

 ***Per Section 3(7) of the Regulation:***

Click or tap here to enter text.

***Extension of time considerations per Section 5 the Regulation:***

Click or tap here to enter text.

***Milestones:***

Click or tap here to enter text.

**MANAGING CONFIDENTIALITY**

*(Document how confidentiality will be protected during the investigation. Indicate where investigation records - including complainant and witness information - will be stored, who will have access to the records, and what access controls will be put in place)*

***Investigation file location:***

Click or tap here to enter text.

***Required access:***

Click or tap here to enter text.

***Access controls in place:***

Click or tap here to enter text.