

## Management Investigation Report

**Date:**

**Employee:**

**Direct Supervisor:**

**Investigator/Interviewer:**

**[Issue-Topic]** *Attendance- Performance- Misconduct- Behavior- Complaint*

**[Complaint Statement/what was investigated]** *Describe the event/basis for the investigation- Date, time, what allegedly happened that needed to be investigated*

**[Data reviewed]** *Policies, work rules, SOP's, performance reviews or expectations, access card data, meeting minutes.... Describe what was reviewed and in what format, i.e. electronic records, spreadsheets, department policies vs. organization wide policies. \*Be able to recall and attach the data as exhibits if needed*

**[Plan Review]** *Prior to conducting any interviews, who was consulted on the plan and aware of investigation- this step helps ensure we didn't operate in a vacuum and thought through due process, interview questions, interview process. Important for a fair and thorough investigation.*

**[Who was interviewed]** *I conducted x# of interviews in the following order, include date and time of interview:*

*Complainant—witnesses—subject*

*Identify who had stewards and who didn't (and if union waiver was completed), name the stewards present as well.*

**[Tennessee Warnings and Policy Attachments]** *Each interviewee was provided with the Tennessee Notice and those are included in Attachment "X". Indicate that participants were afforded due process via Tennessee, union representation (above) and if anyone was asked to review or confirm a policy shown to them, that is identified and included as an attachment.*

**[Union Representation]** *Indicate who had stewards, particularly the subject. If they declined union representation include that waiver form as an attachment. Documents that due process and rights were followed. No need to repeat if it is covered above in interview list*

**[Subjects summary understanding of investigation]** *Narrative of the incident according to the subject and statements regarding acknowledgement etc.*

**[Witness summary statement/conclusion]** *Narrative of the witnesses.*

***\*\*The order of the narrative is up to the writer- if it makes sense to start with complainant and finish with subject that is fine. As long as the issue is outlined and the subject's statements are clear. \*\****

**[Conclusion and reasoning - Substantiated- Unfounded- Undetermined]** *Objective conclusions of what was found through the course of investigation.*

*If someone's reason or explanation doesn't make sense, identify why it doesn't based in facts and credibility.*

*Identify here if data collected supports or contradicts any statements.*

*Identify here if witness statements corroborate or conflict the data, basic facts and subject statements. These pieces help conclude whether something is substantiated, unfounded or undetermined.*

*What was the credibility of all participants? Did any witness, subject or complainant have questionable or lack of credibility for some reason? If so, clearly outline specific reasons as to why credibility was impacted negatively or positively.*

*If found to be true- what policies or rules are violated?*

*Apply a preponderance of the evidence standard- is it more likely than not that the alleged incident/policy violation occurred?*

**[Submitted to]** *Discipline decision maker (Manager or Department Head), Human Resources Director, Department Manager (if not also the department head), Labor Relations. Whomever is applicable for the organization.*

**Completed By: [name & title]** \_\_\_\_\_

**Date:** \_\_\_\_\_