

Investigations Strategy Plan

Allegation: Copy or summarize the complaint

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Scope: Topic areas of review, i.e. tardiness, insubordination, disrespectful comments, written communications etc.

Potential Policy Violations: IF FOUND TO BE TRUE, what policies would it violate? Identify the Policies, Guidelines, SOP's that govern or dictate the work, that if violated would constitute action of some kind by the employer.

Risk: Is there a need to separate staff or place the subject on administrative leave for the safety, wellbeing or operational need?

- Yes
- No

Severity assessment: IF FOUND TO BE TRUE- would the outcome result in a high, medium or low severity (in terms of risk, liability or potential level of discipline)?

LOW	MEDIUM	HIGH
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What type of effort is needed to determine what happened and Role: What needs to happen and by whom?

- Fact Finding Effort- outcome may not require a report, but a summary memo could apply. Likely done by the department management with HR assistance.
- Culture Survey/Review- outcome would require a report but may not result in discipline or individual policy violations. It could reveal a policy failure, problematic practice or bad habits to change. Likely done by HR Business Partner.

- Full investigation, completed by HR (BP's or ODEI), sometimes with the assistance of management, when appropriate
- Full investigation that may pose a conflict, level of complexity or criminal aspect that warrant an external investigator.

Objective: Determine as best as possible whether the employee(s) did what was alleged and is it provable or can the likelihood be demonstrated with sufficient evidence and credibility? This is a statement that combines the allegation with the potential policy violations.

Boundaries & Plan:

- Identify the evidence and any data that needs to be gathered and reviewed, prior to conducting interviews. Could include; emails, policies/practices/SOP/rules/ordinances, badge swipe data, video or photographs

- List of interviewees and purpose or nature of need to include in the investigation, what can they attest to that meets the objective or aids in the proof of policy violations?
Determine order to interview.

- What communications need to be shared, who needs to know what and when? Identify what, if anything is confidential for some or all participants.

- Set a timeline, including interviews and report writing. Consider schedules and be realistic.

- Review the investigations Plan with your manager, Director of ODEI or Labor Relations Manager to ensure a narrow scope, clear plan and address any questions or concerns.

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Check in's: Check in with your advisors along the way to help develop good interview questions, manage difficult interviewees, protect against interference and ensure due process is followed. If there is a need to expand the scope or change course, check in with your advisors to strategize and check biases and avoid interference.

Summary Report: Use template whenever possible

- Date Completed
- Saved in designated storage location _____
- Provided to Department
- Provided to Labor Relations and other HR leadership as necessary

Assessment for Discipline:

- Department and HR determination
- Department, HR and Labor Relations determination
- Other

Reminders:

- Tennessee Advisory provided**
- Determine Garrity and use template if applicable**