

Pre- Fact Finding	Fact Finding Interview Preparation	Interview
<ol style="list-style-type: none"> 1. Contact HR Consultant. 2. Identify Preliminary Issues. 3. Visit site of the event. 4. Determine violations (laws, regulations, University/Department Policies or procedures) 5. Review department files. 6. Identify individuals involved: -complainant, witnesses, subject, etc... 7. Maintain confidentiality and minimize potential of a retaliation claim. 8. Determine other resources. 	<ol style="list-style-type: none"> 1. Prepare fact finding questions. (see interview sheet) <ol style="list-style-type: none"> a. Use open ended questions. b. Narrow focus with follow-up questions. c. Avoid negative questions. d. Refrain from leading questions. 2. Prepare fact finding interview Strategy. <ol style="list-style-type: none"> a. Give limited advance notice for interview. b. Conduct in a private location. c. Contact UNMPD if there are safety concerns. d. Stop meeting if interviewee requests union representation or brings an attorney. e. Contact your HRC for guidance. f. Determine sequence of interviews. 	<ol style="list-style-type: none"> 1. Conduct interviews in a timely manner. (see interview sheet) 2. Establish rapport. 3. Discuss Fact Finding Interview Opening and Closing Remarks including Policy 2200, confidentiality, and recording. 4. Remain impartial to dialogue. 5. Allow for silence. 6. Do not rush the interview. 7. Obtain background information: <ol style="list-style-type: none"> a. Ask Who, What, When, Where, Why, How. b. Determine if this is an isolated event or a pattern? c. Obtain relevant documents. d. Obtain witness names. 8. Summarize main points for accuracy.
Concluding Fact Finding Interview	Post Fact Finding Interview Notes	Revise Fact Finding Plan as Necessary
<ol style="list-style-type: none"> 1. Remind the interviewee that they can add to their statement in the future. 2. Tell the interviewee to maintain confidentiality. 3. Remind the interviewee of UAP 2200 and to contact you if they feel they have been retaliated against. 	<ol style="list-style-type: none"> 1. Document all relevant information obtained. 2. Type notes as soon as possible after the interview. 3. Document any notices given during the interview. 4. Document time, place, duration, and who was present during the interview. 5. Document the instructions provided at conclusion. 6. Interview notes should be factual and not contain opinions. <p>*Complete Pre-Discipline Checklist (provide link)</p>	<ol style="list-style-type: none"> 1. Identify additional documents/data to be obtained. 2. Identify additional witnesses to be interviewed or follow-up interviews to be conducted. 3. Identify additional follow-up that may be necessary. (e.g. Have new issues been raised?) 4. Review witness statements and identify any that were unclear or inconsistent. Re-interview if necessary. 5. Review any evidence provided by the subject and consider it prior to any potential discipline. 6. Assess and balance material supporting and disputing the allegation/event. <ol style="list-style-type: none"> a. Determine whether a breakdown of internal controls caused the problem. 7. Create a chronology of events. 8. Provide HR Consultant with completed Disciplinary Checklist.

Considerations after Fact Finding

General Considerations

- Is this an on-going issue in your department/unit or an isolated incident?
- Does this concern put other employees or the department at risk?
- Is this a safety concern?
- Are there others that need to be interviewed?
- What have you done in the past to address this kind of issue?
- What kind of precedent do you want to set?

Other Considerations

- Is this a policy violation?
- Is this a safety concern?
- Does this have Union implications?
- Are laws being violated?
- Is there a conflict of interest?
- Does this need to be reported to the Compliance Office (via the Ethics Hotline)?