<table>
<thead>
<tr>
<th>Pre- Fact Finding</th>
<th>Fact Finding Interview Preparation</th>
<th>Interview</th>
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</thead>
<tbody>
<tr>
<td>1. Contact HR Consultant.</td>
<td>1. Prepare fact finding questions. (see interview sheet)</td>
<td>1. Conduct interviews in a timely manner. (see interview sheet)</td>
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<tr>
<td>2. Identify Preliminary Issues.</td>
<td>a. Use open ended questions.</td>
<td>2. Establish rapport.</td>
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<td>3. Visit site of the event.</td>
<td>b. Narrow focus with follow-up questions.</td>
<td>3. Discuss Fact Finding Interview Opening and Closing Remarks including Policy 2200, confidentiality, and recording.</td>
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<td>4. Determine violations (laws, regulations, University/Department Policies or procedures)</td>
<td>c. Avoid negative questions.</td>
<td>4. Remain impartial to dialogue.</td>
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<td>5. Review department files.</td>
<td>d. Refrain from leading questions.</td>
<td>5. Allow for silence.</td>
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<tr>
<td>6. Identify individuals involved: complainant, witnesses, subject, etc...</td>
<td>2. Prepare fact finding interview Strategy.</td>
<td>6. Do not rush the interview.</td>
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<tr>
<td>8. Determine other resources.</td>
<td>b. Conduct in a private location.</td>
<td>b. Determine if this is an isolated event or a pattern?</td>
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**Concluding Fact Finding Interview**

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.

**Post Fact Finding Interview Notes**

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.

*Complete Pre-Discipline Checklist (provide link)*

**Revise Fact Finding Plan as Necessary**

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.
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)?