Fact Finding Investigation Process

Receive Complaint or Observed / Reported Behaviors
- Conduct intake with complainant.
- Inquire about mediation option.
- Confirm allegations with complainant.

Appropriate Action Determined
- To determine if an investigation is warranted, the Investigator asks the question: “If the actions/allegations, reported or observed, are found to be true, (1) could it lead to misconduct or a policy violation and (2) would some level of discipline be considered?” When the answer is YES then the allegation(s) will be investigated.
- When the answer is NO, the investigator will prepare a written summary which explains why the matter will be closed without further action.
- When an informal resolution is agreed to by all parties, the investigator will prepare a written summary documenting the informal resolution; and meet with the complainant and other relevant parties to debrief them on the university’s informal resolution of the complaint.

Notice of Investigation
- Send Notice of Investigation to respondent.
- Include a copy of the Investigative Guidelines.
- Include Fact Finding Investigation Process.
- Send the Authority to Conduct Investigation letter, if applicable.

Start Investigation
- Conduct witness interviews. Collect applicable evidence.
- If investigation is complaint driven, respondent may read the complaint at the first meeting and choose to respond to the allegations at a subsequent meeting.
- Conduct respondent interviews. Respondent has opportunity to provide applicable evidence, provide witness list and participate or request mediation.

Write Written Report
- Review draft report with Director of HRRR.
- Investigator sends final report to the supervisor/Dean for Academics.
- Supervisor/Dean provides a copy of the report and applicable evidence to the respondent; requests respondent to respond to report, provides deadline.
- When response is received or the deadline to respond is reached, the investigation process is finalized.

Next Step for Potential Discipline
- Supervisor/Dean contacts Labor Relations Manager (for represented employees) or HR Manager (for non-represented Exempt employees) to discuss if action is warranted and if so at what level.