Practical Skills based training for HR Investigators

- [Name of Presenter]
- [Date of Training]
Purpose of Training (20 mins)

- To enable HR investigators to develop all aspects of their investigation skills in a safe environment;
- To offer practical ‘hands-on’ training to HR investigators using a realistic and interactive case study scenario;
- To help HR investigators to become more familiar with using EthicsPoint;
- To remind HR Investigators of the importance of creating and maintaining detailed records.
EthicsPoint
Time to log in!
Preliminaries (10 mins)

- Time to pick teams!
- Open fictional case [Insert case number] on EthicsPoint;
- Check that you have received electronic copies of Documents 1-4, 6-7, 9-10 and 12-15 into your email inbox.
Exercise 1 – 25 mins
Initial Response to be given to Reporter

• Read Documents 1, 2 and 3.
• In your teams, decide which of the four possible initial responses on Document 3 should be sent to [Klaus].
• Write your team’s chosen response number on a piece of paper and be ready to hold it up when prompted to do so.
Answers to Exercise 1

- **Response 3 is the only appropriate response**

  - Response 1 – Nokia should not tape record interviews, nor should it promise confidentiality. Nokia may need to use information provided by witnesses regardless of witnesses’ wishes and such information may, in some circumstances, unavoidably reveal the originating witness’s identity.

  - Response 2 – [Fred’s] success is irrelevant. The fact that Nokia has never received a complaint about [Fred] in the past is also irrelevant and should not be disclosed. Even successful leaders can be poor managers. The Reporter has already made clear that he does not feel comfortable discussing this directly with [Fred].

  - Response 4 – Nokia is not represented by legal counsel and therefore witnesses should not be invited to attend with a lawyer either.
Exercise 1
Planning the Investigation

• Before undertaking the investigation you should plan the appropriate next steps.
• This includes considering the different potential sources of information available (such as documents, witnesses, emails, text messages, etc.).
• In our case, as with many cases, the best place to begin is by speaking to the reporter to gather more detailed information.
• However, you should bear in mind that in other situations you may need to ask for further documents or emails for you to review.
• Importantly, you must be flexible and able to adapt your planned course of action as you gather more information and circumstances change.
Exercise 2 – 30 mins
Interview technique training – general tips

• Read Document 4.

• Discuss with your course leader the different elements of interviewing as described in Document 4, including:
  • General Tips for all Interviews
  • Interviewing the Reporter
  • Interviewing other Witnesses
  • Interviewing the Subject
  • Post Interview Procedures

• You should bear this guidance in mind when preparing for the interviews you will be carrying out today, as well as any interviews you carry out in the future.

• If you have any questions on interview technique or the interview guidance, you should ask these now.
Exercise 2 - 20 mins
Prepare for your interview with [Klaus]

• As a team, you should now prepare for your interview with [Klaus]
• Make a list of potential questions which you would like to ask [Klaus]
• You have 20 minutes to prepare
Exercise 3 – 40 mins
Interview with [Klaus]

• Return to the main training room
• Invite [Klaus] to join you
• Each team should take turns to ask [Klaus] a question (30 mins).
• Remember to take notes.
• Complete Document 6 (interview note) electronically noting down the five key points which arose out of your interview with [Klaus] (10 mins).
• Upload your interview note to the case on EthicsPoint.
Exercise 4 – 15 mins
Other witness evidence

• Read Document 7 which contains notes from other interviews which have already taken place
• Upload Document 7 to the case on EthicsPoint
Exercise 5 – 20 mins
Prepare for your interview with [Annetta]

• As a team, you should now prepare for your interview with [Annetta]
• Make a list of potential questions which you would like to ask [Annetta]
• You have 20 minutes to prepare your questions
Exercise 5 – 40 mins
Interview with [Annetta]

• Invite [Annetta] to join you.
• Each team should take turns to ask [Annetta] a question (30 mins).
• Remember to take notes.
• Complete Document 9 (interview note) electronically noting down the five key points which arose out of your interview with [Annetta] (10 mins).
• Upload your interview note to the case on EthicsPoint.
Exercise 6 – 10 mins
Memo from Regional HR

- Read Document 10
- As a team, decide what response you would give to Regional HR
Exercise 6
Response to Regional HR

• In the light of [Klaus’s] complaint, you should explain to Regional HR that you are unable to proceed with [Klaus’s] redundancy pending the ongoing investigation into [Klaus’s] complaint (which is confidential).
Exercise 7 – 20 mins
Preparation for your interview with [Fred]

• As a team, you should now prepare for your interview with [Fred]
• Make a list of potential questions which you would like to ask [Fred]
• You have 20 minutes to prepare your questions
Exercise 7 – 40 mins
Interview with [Fred]

- Invite [Fred] to join you
- Each team should take turns to ask [Fred] a question (30 mins).
- Remember to take notes.
- Complete Document 12 (interview note) electronically noting down the five key points which arose out of your interview with [Fred] (10 mins).
- Upload your interview note to the case on EthicsPoint.
Exercise 8 – 60 mins
Decide upon the outcome/action points and write your Investigation Report

• Decide within your teams what outcome/action points you would recommend;
• Complete Document 13 electronically (constituting the Investigation Report) and upload to EthicsPoint (30 mins);
• Close the investigation on EthicsPoint remembering to complete all of the required fields (10 mins).
• As a team, explain to the other teams the outcomes/action points which you have decided upon and give your reasons (20 mins).
Exercise 8
Range of reasonable outcomes/action points

- **[Fred]** – Serious disciplinary action or termination in respect of the expense fraud/discrimination/harassment. Possible legal sanctions according to local law.
- Employees knowingly involved in the expense fraud may face disciplinary action and/or sanctions under the Nokia Expenses Policy and/or local law.
- Further training for Line Managers in relation to data privacy, diversity, harassment and discrimination.
- **[Annetta’s]** ETL contract must be renewed or she must leave the company.
- **[Klaus’s]** redundancy must be reviewed in the light of the fact [Fred] selected him for redundancy when he already knew that [Klaus] had made a complaint to HR about him.
- Recommend a review of the arrangements and procedures in relation to expense requests and ETL contract renewals.
Exercise 9 – 10 mins
Information to be provided to [Klaus] at the end of the Investigation

• What information should you provide to [Klaus] at the end of the Investigation?
• What other action (if any) should be taken as a result of the Investigation?
Exercise 9

It is sufficient to inform [Klaus] that his complaint was substantiated. You should not go into detail in relation to the disciplinary action taken as this is confidential.

Further action which could be considered:

• disciplinary action against [Klaus] and [Annetta], for using their corporate credit cards inappropriately and failing to escalate;
• escalation to ECI of the [Deutsche Telekom] sporting event issue, as this is a potentially very serious non-HR compliance issue.
Exercise 10 – 15 mins
Responding to adverse publicity

• Read Document 14
• What action do you consider should be taken in response to the email from [Gus]?
Exercise 10
Responding to adverse publicity

• You should IMMEDIATELY notify your relevant Country Senior Officer and Barry French (Global Head of Communications)

• Do not respond or comment to the journalist unless you are instructed to do so
Exercise 11 – 15 mins  
The importance of good record-keeping

• Read Document 15

• Imagine that you have no previous knowledge of [Klaus’s] complaint. Check the notes which you have added to the case on EthicsPoint. Would your notes be detailed enough to satisfy Femi’s request in relation to [Annetta Fischer]?

• The importance of creating an accurate and detailed paper-trail must not be underestimated. The detail entered on EthicsPoint must be sufficient to enable someone entirely new to the case to understand the allegation, the steps taken to investigate and the findings/outcome.
Feedback from Course Leaders

30 mins
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# Revision history and metadata

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