

## INTAKE/REFERRAL FORM

### STATEMENT CONCERNING CONFIDENTIALITY

Pursuant to Tennessee Code Annotated § 10-7-502(a), "all state . . . records . . . shall at all times, during business hours, be open for personal inspection by any citizen of Tennessee, and those in charge of such records shall not refuse such right of inspection to any citizen, unless otherwise provided by state law." Accordingly, the State cannot and does not guarantee the confidentiality of this document or any notes, files, reports, or other documents, whether created by the State or received from the complainant, accused, or witnesses.

NAME OF COMPLAINANT OR PERSON REPORTING EVENT:

\_\_\_\_\_

TELEPHONE NUMBERS OF COMPLAINANT OR PERSON REPORTING EVENT:

WORK: \_\_\_\_\_

HOME: \_\_\_\_\_

IS YOUR HOME TELEPHONE NUMBER UNLISTED? YES \_\_\_\_\_ NO \_\_\_\_\_

MOBILE: \_\_\_\_\_

NAME OF AGENCY AND DIVISION INVOLVED:

\_\_\_\_\_

NAME OF PERSON(S) WHO ALLEGEDLY DISCRIMINATED AGAINST YOU OR HARASSED YOU?

\_\_\_\_\_

\_\_\_\_\_

RELATIONSHIP OF ALLEGED ACCUSER TO YOU (I.E. DIRECT SUPERVISOR, CO-WORKER):

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DATE OF EARLIEST OCCURRENCE OF EVENTS?

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DATE OF LATEST OCCURRENCE OF EVENTS?

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WERE THERE OTHER EMPLOYEES WHO WERE TREATED BETTER IN SIMILAR CIRCUMSTANCES? PLEASE CHECK ONE: YES \_\_\_\_\_ NO \_\_\_\_\_

IF YOU ANSWERED YES TO THE PREVIOUS QUESTION, PLEASE PROVIDE THE NAMES OF THE EMPLOYEES WHO WERE TREATED BETTER AND DESCRIBE HOW THEY WERE TREATED BETTER:

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PLEASE LIST BELOW ANY PERSONS (WITNESSES, FELLOW EMPLOYEES, SUPERVISORS, OTHERS) WHO MAY HAVE ADDITIONAL INFORMATION TO SUPPORT OR CLARIFY THIS COMPLAINT. EXPLAIN WHAT INFORMATION EACH CAN PROVIDE.

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WHAT EXPLANATION DO YOU THINK THE AGENCY OR ACCUSED WILL GIVE AS TO WHY YOU WERE TREATED IN THIS MANNER?

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PLEASE IDENTIFY ANY OTHER INFORMATION (INCLUDING DOCUMENTARY EVIDENCE SUCH AS DIARIES, JOURNALS, RECORDINGS, EMAILS, VOICEMAILS, CORRESPONDENCE, ETC.) THAT YOU THINK IS RELEVANT TO THIS MATTER.

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**WHAT DO YOU WANT TO HAPPEN AS A RESULT OF THIS COMPLAINT?**

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**IF YOU HAVE TOLD ANYONE ELSE ABOUT THIS MATTER, PLEASE LIST THE NAME(S) AND RELATIONSHIP(S) (CO-WORKER, FAMILY MEMBER, ETC.)**

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**SIGNATURE OF COMPLAINANT:** \_\_\_\_\_

**DATE:** \_\_\_\_\_

**IF COMPLETED BY SUPERVISOR OR AGENT OF STATE AS A RESULT OF INTERVIEWING A COMPLAINANT, PLEASE PROVIDE THE FOLLOWING INFORMATION:**

**PRINTED NAME:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_

**TITLE:** \_\_\_\_\_

**AGENCY AND/OR DIVISION:** \_\_\_\_\_

**WORK TELEPHONE NUMBER:** \_\_\_\_\_

**DATE COMPLAINT RECEIVED:** \_\_\_\_\_

**DATE FORM COMPLETED:** \_\_\_\_\_

**REASON FOR DELAY, IF ANY, BETWEEN THE DATE THE COMPLAINT WAS RECEIVED AND THE DATE THE FORM WAS COMPLETED:**

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**NAME AND TITLE OF PERSON TO WHOM THE FORM WAS FORWARDED FOR ACTION:**

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**DATE ON WHICH THE FORM WAS FORWARDED:**

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## **INVESTIGATION MEMORANDUM FORMAT**

- 1. Complainant's name, job title, agency, location**
- 2. Initiation of investigation:**
  - a. Persons involved in conducting investigation
  - b. Date complaint received by agency
  - c. Person in agency who initially received complaint
  - d. Date investigation began and, if applicable, reason for any delay
- 3. Description of complaint**
  - a. General nature of events giving rise to complaint, including dates of alleged events
  - b. Person(s) accused of inappropriate behavior and organizational relationship to complainant
- 4. Statements and evidence gathered in the investigation**
  - a. Complainant
    - i. Specific allegation(s). If more than one allegation, list each separately
    - ii. Additional witnesses named by complainant
    - iii. Resolution desired by complainant
  - b. Person accused of inappropriate behavior. If more than one, list each separately
    - i. Specific response(s) to allegation(s). If more than one, list each separately
    - ii. Additional witnesses named by accused
  - c. Witnesses interviewed
    - i. Name and job title. If more than one, list each separately
    - ii. Evidence about specific allegations (noting firsthand knowledge v. secondhand knowledge)
    - iii. Additional witnesses, if any
- 5. Summary of evidence**
  - a. Corroboration of specific allegations
  - b. Non-corroboration of specific allegations
  - c. Other pertinent information
- 6. Conclusions concerning violation of policy. INCLUDE ONLY AT THE DIRECTION OF THE AGENCY.**
- 7. Appendices**
  - a. List of potential witnesses not interviewed and reason
  - b. List of attachments (documentary evidence)