

Basic Principles of Investigation

Health Standards and Quality

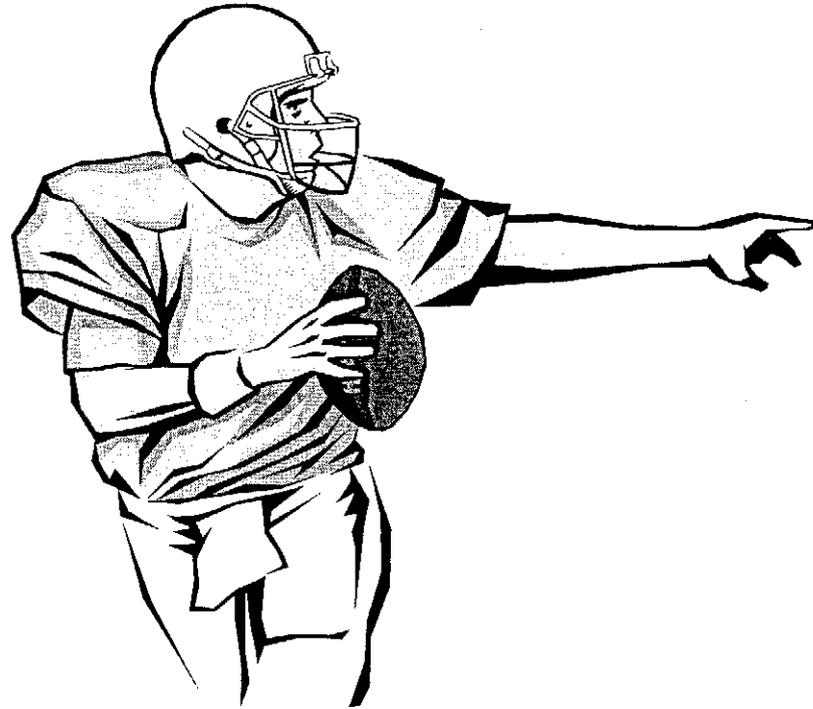
What is involved in an Investigation?

- * Planning
- * Observing
- * Interviewing
- * Documenting
- * Reviewing
- * Writing Report

Principles of Investigation

- * Planning the investigation

YOU NEED A GAME PLAN



GAME PLAN= SURVEY PROCESS

* OFFSITE PREP

- * Utilize all resources
- * Have a written plan
- * Prepare
- * Stay flexible

* ONSITE PLAN

- ❖ Evaluate your plan.
- ❖ Either stay with the plan
or
- ❖ Revise

HAPPY NURSING HOME

Complainant: John Jolly's daughter, Bertha Bean

My father called me and told me that he was brutally beaten by an aide. My father has numerous bruises and is depressed. He thought he was going to die. He has been given medications since this incident. I don't think he needs them. He wasn't getting any before and I don't know why he needs them now.

I see my father several times a week. I have never really trusted the aide, Freddie. I don't know why, I just haven't.

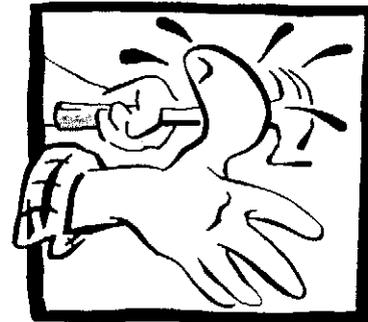
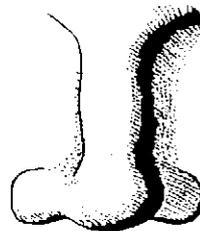
Principles of Investigation

❖ OBSERVATION SKILLS



USE OF THE SENSES

- * How do you observe and remember?
- * What is your personal observation style?



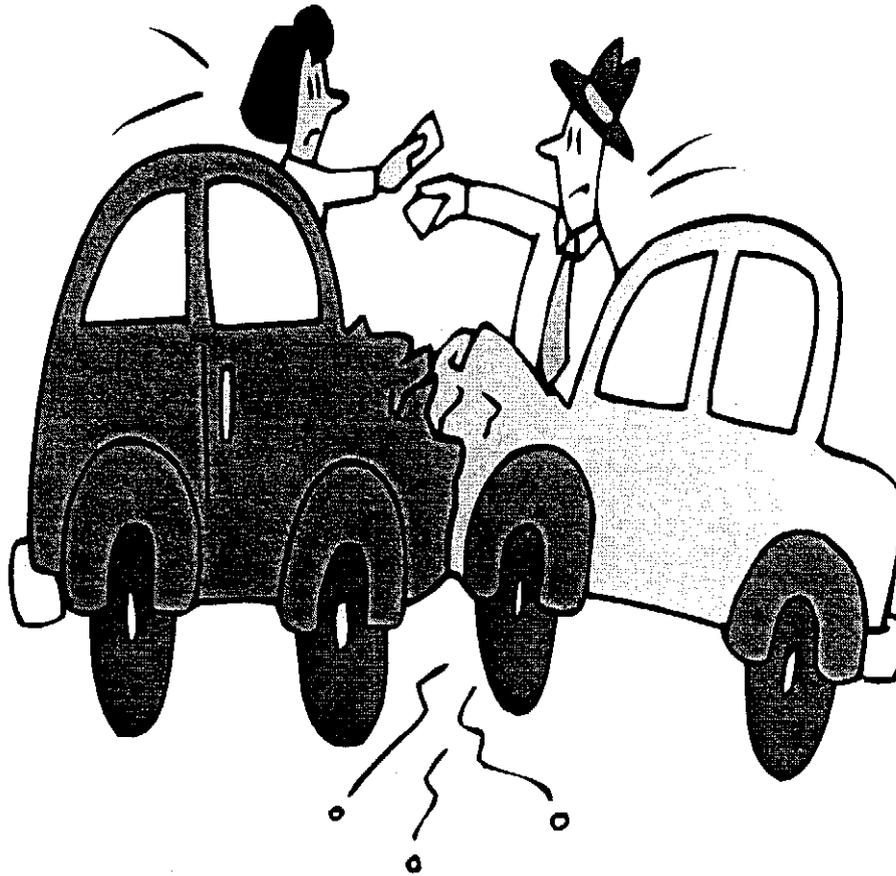
Observations are Altered by:

- * Personal bias
- * Experience
- * Interest
- * Perceptions
- * Male/Female
- * Focus
- * Complacency



HOW PERCEPTIONS GET IN THE WAY (auto accident)

- * Doctor
- * Lawyer
- * Engineer
- * Thief
- * Preacher



SKILL BUILDING

How to enhance observations

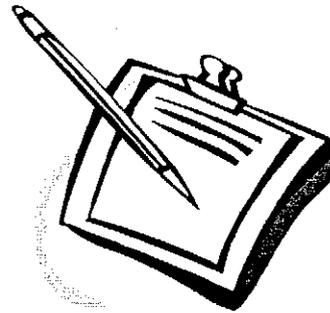
How to enhance memory

- * Plan
- * Vary the tasks
- * Increase understanding
- * Build confidence
- * Pay attention
- * Rehearse and practice

Exercise

Recording Observations

- ❖ Write it down ASAP
- ❖ Describe in detail
(4 Ws and H)
- ❖ Include date and time of observation
- ❖ Develop a note taking system.



EXERCISE

VISUALIZATION

OBSERVATIONS

* SEEN

* HEARD

FACTS VS. OPINIONS

* Just the facts, please!



Fact vs. Opinion

- * The ashes and the cigarette butts in the ashtray showed someone had been smoking in the room.

Fact?

Opinion?

Fact vs. Opinion

- * Five people were waiting for the bus at the 5th street bus stop.

Fact?

Opinion?

Fact vs. Opinion

- * The resident was extremely nervous.

Fact?

Opinion?

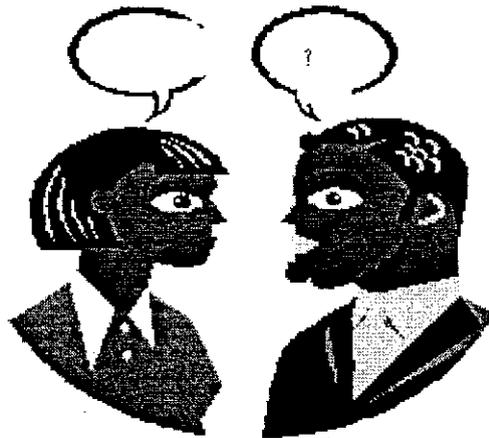
FACT VS. OPINION

- * The beautiful patio was littered with ugly, rusted and broken furniture.

Fact?

Opinion?

PSYCHOLOGY OF INTERVIEWING



PROXEMICS

Personal Zones/Spheres

- * Public: 12+ feet
- * Social: 4-8 feet
- * Personal: 1-4 feet
- * Intimate: 0-1 foot

CONDUCTING AN INTERVIEW

Interview

Vs.

Interrogation

- ❖ Informal
- ❖ Variable Location
- ❖ Dialogue
- ❖ Uncertain Guilt
- ❖ Exploratory
- ❖ Neutral
- ❖ Low Time Factor

- ❖ Formal
- ❖ Selected Location
- ❖ Monologue
- ❖ Guilt Suspected
- ❖ Focused
- ❖ Adversarial
- ❖ High Time Factor

CONDUCTING AN INTERVIEW

- * Location

- * Introduction

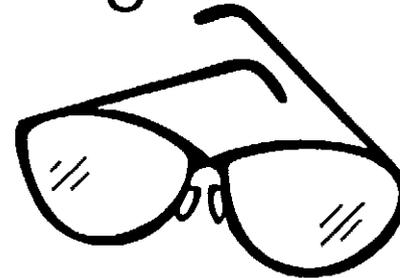
- * Rapport



INTERVIEWING TIPS

FOR USE WITH THE ELDERLY

- * Do homework on resident, if possible
- * Establish rapport
- * Distance 3-6 feet
- * Eye glasses and/or hearing aids
- * Light on your face
- * Short sentences
- * Don't rush



INTERVIEWING PITFALLS

- * Avoid yes/no questions
- * Ask one question at a time
- * Leave ample pauses
- * Ask exactly the same question

QUESTIONING TECHNIQUES

* Who

* What

* Where



* When

* Which

* How

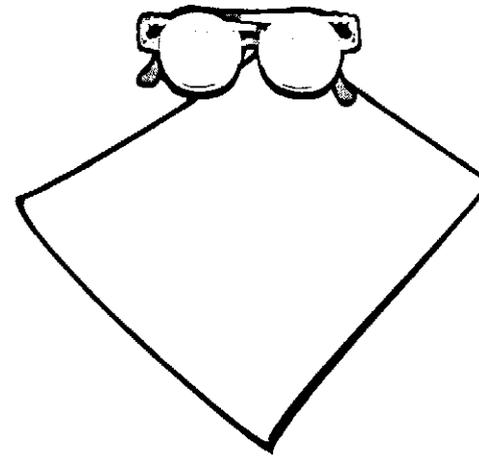
RECORDING INTERVIEWS

- * Write it down-ASAP
- * Describe in detail
- * (4Ws and H)
- * Use direct quotes
- * Paraphrase back



DOCUMENT & RECORD REVIEW

- * What is a Document
- * Purpose of Review
 - secure information
 - validate observations
 - validate interviews



IMPORTANT POINTS TO REMEMBER

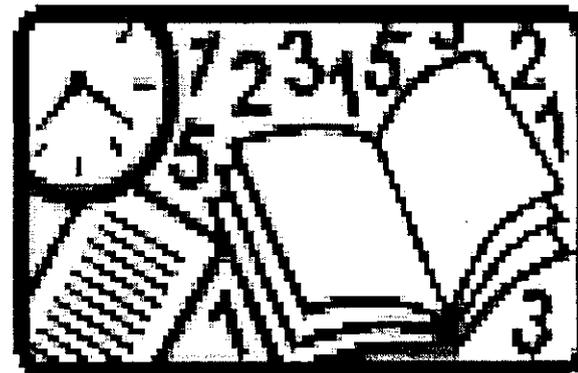
- * Focus on specific issues
- * Develop a system
- * Have facility staff orient you to the record
 - Saves time
 - Avoids mistakes
 - Ask staff to validate missing documentation

RECORDING DOCUMENT AND RECORD REVIEWS

- * Validate type of document

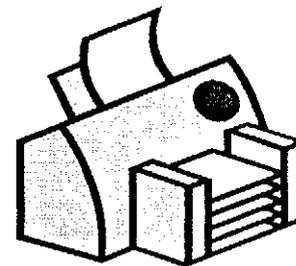


- * Record applicable dates



- * Direct quotes

- * Photocopying procedure



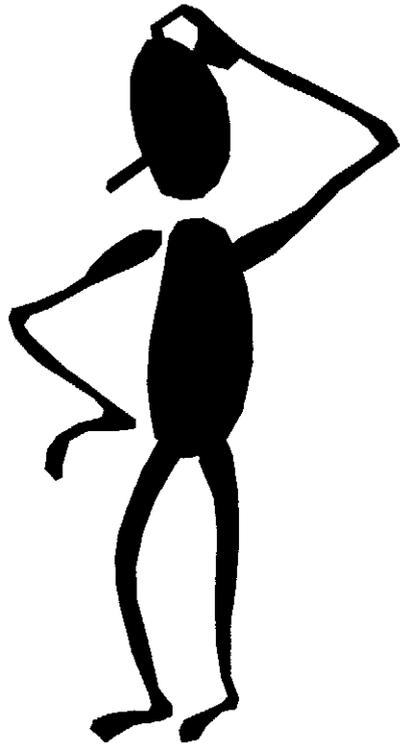
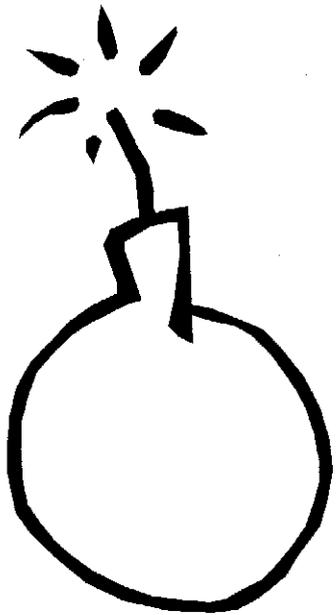
REPORT WRITING

Professional Report Writing
Standards

BUILD A PAPER TRAIL



THE “NEVER” WORDS



- * “In my opinion...”
- * “I think...”
- * “I want...”
- * “I like...”
- * “You should...”