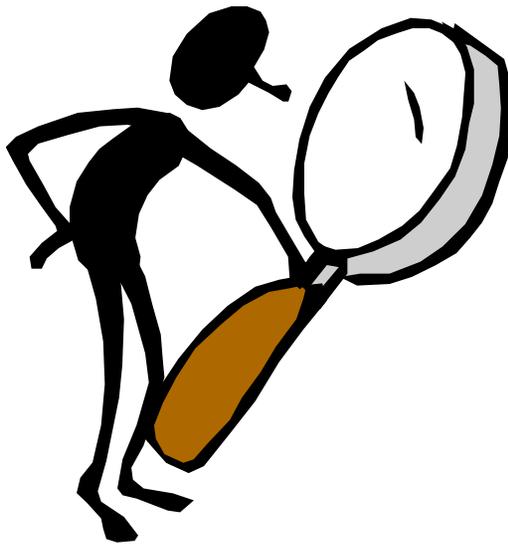


Wisconsin Department of Health & Family Services
Bureau of Quality Assurance

The Investigative Process



Investigation --
"BQA Style"

Investigative Techniques



- ❖ Successful investigators are:
 - Open
 - Direct
 - Professional
 - Communicators

OPEN



- ❖ To everything
- ❖ Attached to nothing

OPEN



- ❖ Attached to nothing
 - When attached you become narrow minded.
 - Attaching to a paradigm provides order, but blinds us.

OPEN



❖ What are your paradigms?

➤ Tags

➤ Rules

➤ Standards

➤ Protocols

DIRECT



- ❖ What am I to investigate?
- ❖ The better focused you are, the more likely you'll succeed in your investigation

DIRECT



- ❖ Vague reporting = vague investigation
 - Challenge: Where to begin?
 - Start with: What's wrong?

DIRECT



❖ Scope:

- You can complete your investigation more efficiently.
- Know when you have enough.

DIRECT

- ❖ Go directly to the source of the information or problem.
 - Get to that person early.
 - Ask: Did you/your facility do this?
 - The more direct the question, the greater the effect.
 - NOT IN AN ACCUSATORY WAY!

DIRECT



- ❖ Then check out other information.
- ❖ NOTE: Report starts when you start!

PROFESSIONAL



- ❖ How you present yourself
- ❖ Image of agency
- ❖ Can be too officious; can be too nice
- ❖ Focus on job, not distractions

COMMUNICATORS



❖ Interviewing...

- Is NOT asking a lot of questions
- Talk without questioning

COMMUNICATORS



❖ Interviewing...

- "I'd like to ask you a few questions..." = PANIC!!!!
- "I" words = Negative
 - Interview, Investigate, Inquiry, Audit (Ha!)
- Enhance your ability to get FACTS in the case

Initial Considerations



- ❖ Background information
- ❖ Consider the time and location
- ❖ Separate interview subjects

Introduction & Identification



- ❖ Introduce self and reason for interview
 - Name: “Hi, my name is ...”
 - Agency
 - Play down authority
 - Drop the title, don’t say “the State”

Introduction & Identification



- ❖ Introduce self and reason for interview
 - Topic of discussion
 - “I’ve been asked to look into...”
 - Obtain agreement to help
 - “Could you take a moment to help me?” “I believe you could help me... do you have a few minutes?”

Introduction...



- ❖ Identify subject
- ❖ Obtain personal information
 - Name, address, telephone number, title, how they can be reached
 - Calms them
 - Builds comfort & confidence
 - Analyze their behavior

Establish Rapport



- ❖ Be friendly
- ❖ Establish communications
 - Starts with presence; non-verbal
 - eye contact
 - turn toward person
 - lean toward person
 - touch!

Rapport...



- ❖ Show interest in subject's well being
- ❖ Show interest in interest of subject
 - What are their needs? Assurance, safety?
- ❖ Calm subject
 - Feelings before facts
 - "You seem _____"
 - People are not good at communicating if upset

Rapport...



- ❖ Be interested & sympathetic to the subject's problems
 - doesn't matter whether witness or accused
 - Encourage talking... talking about problems leads to confessions
- ❖ Won't get info until rapport established
 - with some - quick; with others - slow

Questioning Techniques



- ❖ Open with narrative-answer provoking question -- "Tell me about..."
- ❖ Avoid "yes" and "no" responses

Questioning Techniques...



❖ LISTEN!

- For commitment
- Clarify non-factual statements
- Learn to recognize deception

Questioning Techniques...



- ❖ Use direct questions for detail
 - Begin with non-threatening questions
 - Ask one question at a time
 - Keep questions short and simple
 - Provide ample time for answers

Questioning Techniques...



❖ Critical Listening Exercise

Note all information



- ❖ Listen to initial information
- ❖ Take accurate, detailed notes
- ❖ Note other persons present
- ❖ Note date, start & end times and location

Note all information...



- ❖ There are times when you have to shut your notebook and just LISTEN.

Conclude the Interview



- ❖ Summarize and verify information
- ❖ Ask for additional information
 - Is there anyone else? Is information anywhere else? Is there anything else?
- ❖ Express appreciation
- ❖ Re-establish rapport

Recognize Deception



❖ Confrontation statement

- "We have completed our investigation and there is no doubt you have more information for me..."

❖ Allow rationalizations

- We minimize what WAS done
- We exaggerate what WAS NOT done
- Shift blame

QUESTIONS?

