Naval Inspector General
Hotline Complaint Program

Conscience of the Navy…Making a Difference

Fact Finding
Part 2
Naval Inspector General
10-Step Hotline Complaint Procedure

Phase 1: Pre-Investigation

Step 1: Contact
Step 2: Analysis
Step 3: Determine Action
Step 4: Notification

Phase 2: Investigation

Step 5: Preparing for an Investigation
Step 6: Fact Finding Part 2
Step 7: Report Writing

Phase 3: Post-Investigation

Step 8: Quality Review & Approval
Step 9: Notification
Step 10: Closure
Investigation
Step 6: Fact Finding Part 2

Step 5
Preparing for the Investigation

Step 6: Part 2
Fact Finding

Step 7
Report Writing
Fact Finding
Overview

- Interviewing Goals
- Interview Plan
- Sensitivity and Privacy
- Five Interview Phases
- Common Problems
Fact Finding
Interviewing Goals

Interviewing Goals

Interview Plan
Sensitivity and Privacy
Five Interview Phases
Common Problems

Step 6: Part 2
Fact Finding
Fact Finding

Interviewing Goals

- Establish rapport
- Emphasize that you seek only the truth
- Listen attentively
- Evaluate the interviewee’s responses to questions carefully
- Take good notes
- Remain objective and unemotional
Fact Finding
Interview Plan

Interviewing Goals

Step 6: Part 2
Fact Finding

Sensitivity and Privacy

Five Interview Phases

Common Problems

Slide 8
Fact Finding

- **Interview Plan Lists**
  - Interviewees
  - Order of the interviews (include time)
  - Category of interviewees (complainant, witness, subject)
  - Allegations that pertain to each interviewee
  - Questions you intend to ask
Fact Finding

Interview Plan

- Type of Interview
- Physical and Psychological Factors
- Questioning Techniques
- Topic Outline
- Number of Interviewers
- Recording
- Rights and Responsibilities
Fact Finding
Sensitivity and Privacy

Step 6: Part 2
Fact Finding

Interviewing Goals
Interview Plan

Sensitivity and Privacy

Five Interview Phases
Common Problems
Fact Finding

Sensitivity and Privacy

- Inquire discreetly
- Gather documents from complainant or subject 1st if they prove / disprove allegations
- Gather documents pertaining to various command personnel
- Explain Privacy Act rights
Fact Finding
Five Interview Phases

Interviewing Goals
Interview Plan
Sensitivity and Privacy

Five Interview Phases
Common Problems
Five Interview Phases

Phase 1: Introduction
Phase 2: Rapport
Phase 3: Questioning
Phase 4: Summarization
Phase 5: Closing
Fact Finding
Five Interview Phases

Five Interview Phases
- Phase 1: Introduction
  - Phase 2: Build Rapport
    - Phase 3: Questioning
      - Phase 4: Summarize
        - Phase 5: Close
Introduction

- Introduce yourself
- Identify the office you represent
- Produce credentials or tasking / appointing letter
- Confirm interviewee is the right person
Introduction

- Explain the purpose of the interview
- Explain what to expect during the interview
- Explain and execute a Privacy Act statement
Build Rapport

- Greet the interviewee with a handshake

- Use voice inflection, gestures, and facial expressions to set the tone

- Use neutral terms - no editorial comments
Build Rapport

- Use non-threatening mannerisms and body language
- Express empathy or sympathy, when appropriate
- Treat interviewees with dignity and respect
Questioning

- Free-narrative or open-ended questions
- Direct examination or direct questions
- Cross-examination questions
Questioning

- Receive the answer
  - Listen carefully
  - Keep an open mind
  - Paraphrase responses
  - Concentrate on what the interviewee is saying
  - Maintain control of the interview
Questioning

- Receive the answer
  - Summarize key points
  - Listen with minimal interruptions
  - Use silence to force a response
  - Keep your talking to a minimum
  - Use gestures and eye contact to encourage responses
  - React to disclosures appropriately
Questioning

- Evaluate the Answer
  - Test the accuracy of information
  - Keep the interviewee focused
  - Fill in missing details with direct questions
  - Use cross-examination questions
  - Re-interview the subject (if necessary)
Record the answer

- Method of interview
- Names of attendees
- Purpose, place, date, time, phone numbers

- Take detailed, factual, objective, concise, clear, and complete notes

- Include questions and responses in tape-recorded interviews
Questioning

- Record the answer
  - Review notes during interview
  - Retain notes / tapes until case is closed
  - Use quotation marks with interviewee’s quote
  - Ask interviewee to initial the quote when you conclude the interview
Questioning

- Four methods of recording an interview
  - Sworn Statement or Declaration
  - Verbatim or tape recording
  - Results of Interview (Record of Interview)
  - Video Teleconference Interviews
Summarize

- Summarize the salient parts of the interview
- Review notes with interviewee to:
  - Clarify or add information
  - Allow second investigator to ask questions
  - Ensure all information is accurate
Close

- Ask the **complainant** what he / she expects from the investigation

- Ask **interviewees** if you should interview anyone else and why

- Thank **interviewees** for cooperating

- Advise **interviewees** regarding whistleblower protection
- Give **interviewee** your contact information

- Explain that **interviewees** have no inherent right to know the outcome

- Advise **interviewees** about requesting IR under the Freedom of Information Act
Fact Finding
Common Problems

Interviewing Goals
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Common Problems
Common Problems

1. Uncooperative commands
2. Refusal to comply
3. Intimidation
4. Requests for other attendees at an interview
5. Losing impartiality
6. Reprisal
7. Requests for advice from interviewees
Fact Finding
Review

- Interviewing Goals
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Anything else?

The key to successful interviewing is to create an interview plan and to rehearse your questions.
Questions??