

Naval Inspector General



Washington Navy Yard, DC



Conscience of the Navy...Making a Difference!



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**

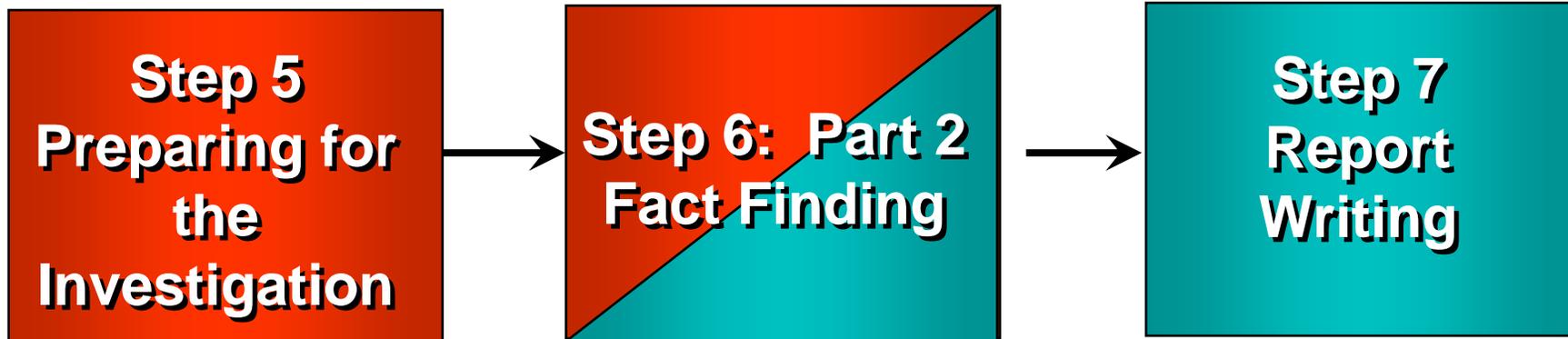
Phase 3: Post-Investigation

- Step 8: Quality Review & Approval**
- Step 9: Notification**
- Step 10: Closure**



Investigation

Step 6: Fact Finding Part 2





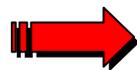
Fact Finding Overview

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



Fact Finding Interviewing Goals

**Step 6: Part 2
Fact Finding**



Interviewing Goals

Interview Plan

Sensitivity and Privacy

Five Interview Phases

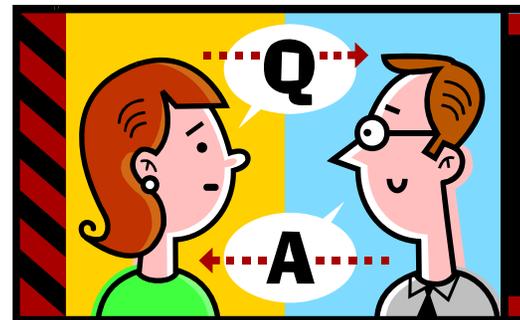
Common Problems



Fact Finding

Interviewing Goals

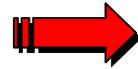
- Establish rapport
- Emphasize that you seek only the truth
- Listen attentively
- Evaluate the interviewee's responses to questions carefully
- Take good notes
- Remain objective and unemotional





Fact Finding Interview Plan

**Step 6: Part 2
Fact Finding**



Interviewing Goals

Interview Plan

Sensitivity and Privacy

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Common Problems



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

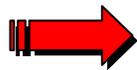
Interview Plan

- 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





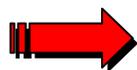
Fact Finding Five Interview Phases

**Step 6: Part 2
Fact Finding**

Interviewing Goals

Interview Plan

Sensitivity and Privacy



Five Interview Phases

Common Problems



Five Interview Phases





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)



Questioning

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



Close

- 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

**Step 6: Part 2
Fact Finding**

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**
- **Interview Plan**
- **Sensitivity and Privacy**
- **Five Interview Phases**
- **Common Problems**



Anything else?

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



Naval Inspector General

Questions??