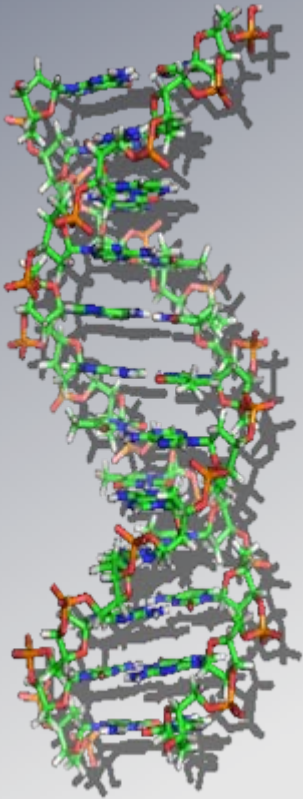


Documenting Investigations

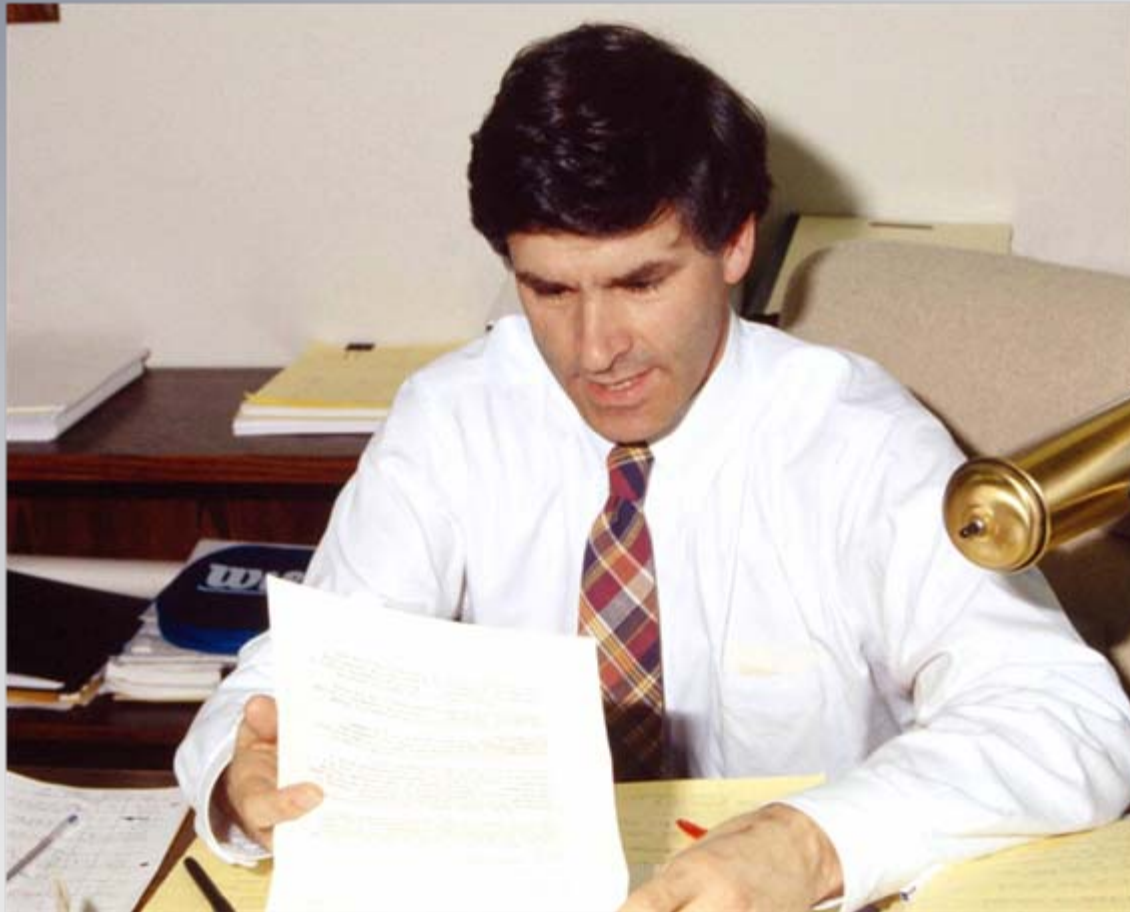


Today's Agenda



- Purpose and components of IR
- Qualities of sound investigations
- Principles of technical writing
- Principles of document design
- Final Assessment of Knowledge

You Be the Auditor...



How would you rate.....

Our investigation reports ...

Can be easily understood by people outside my organization. A B C D F

Reflect a logical process. A B C D F

Follow the prescribed investigation process according to the local SOP. A B C D F

Have easily identifiable sections. A B C D F

Contain clear and concise information. A B C D F

Clearly show disposition of the product. A B C D F

Display the names of investigation members. A B C D F

Can stand on their own. A B C D F

What's the Difference?

Academic vs. Technical
Writing

Technical Writing vs. Academic Writing

	Technical	Academic
Subject knowledge	More than reader. You're the expert.	Less than reader. You're the learner.
Purpose	To achieve a specific goal.	To show your knowledge.
The audience	Diverse readership.	A teacher.
Word count	Fewest words possible while still remaining.	Well developed ideas and examples.

Tools of the Trade



Readability Statistics - Word '03, '07 & '10

To enable this tool in MS Word...

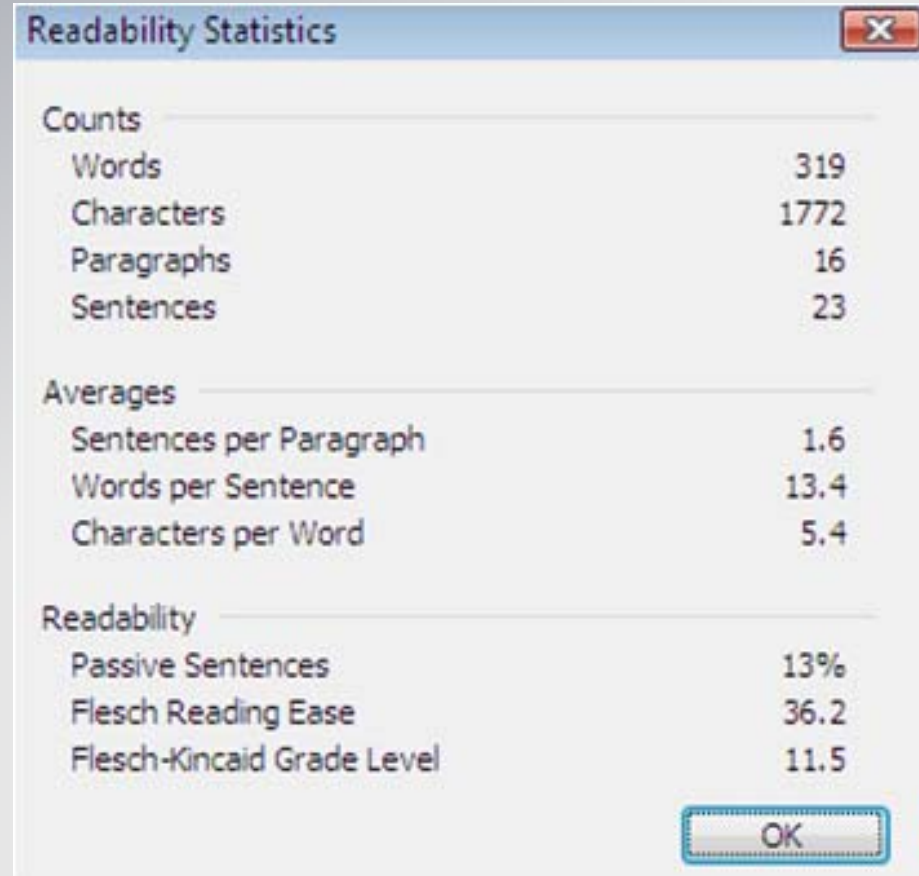
2003	2007	2010
Click on "tools"	Click on the circular Word symbol in the left corner of your menu bar	Select "File" tab
Click on "options"	Click on "Word Options" button which appears at the bottom right corner of the drop down menu	Click "Options"
Click on "spelling and grammar"	Along the left side of the "Word Options" dialog box, click on "Proofing"	Select "Proofing"
Check the box that says "Show Readability Statistics"	In the Proofing dialog box, check the box that says "Show Readability Statistics"	Select the "Check Grammar with Spelling" box, then "Show Readability Statistics"
Click OK	Click OK	Click OK

The Statistics "Story"

1. Numbers

2. Averages

3. Readability



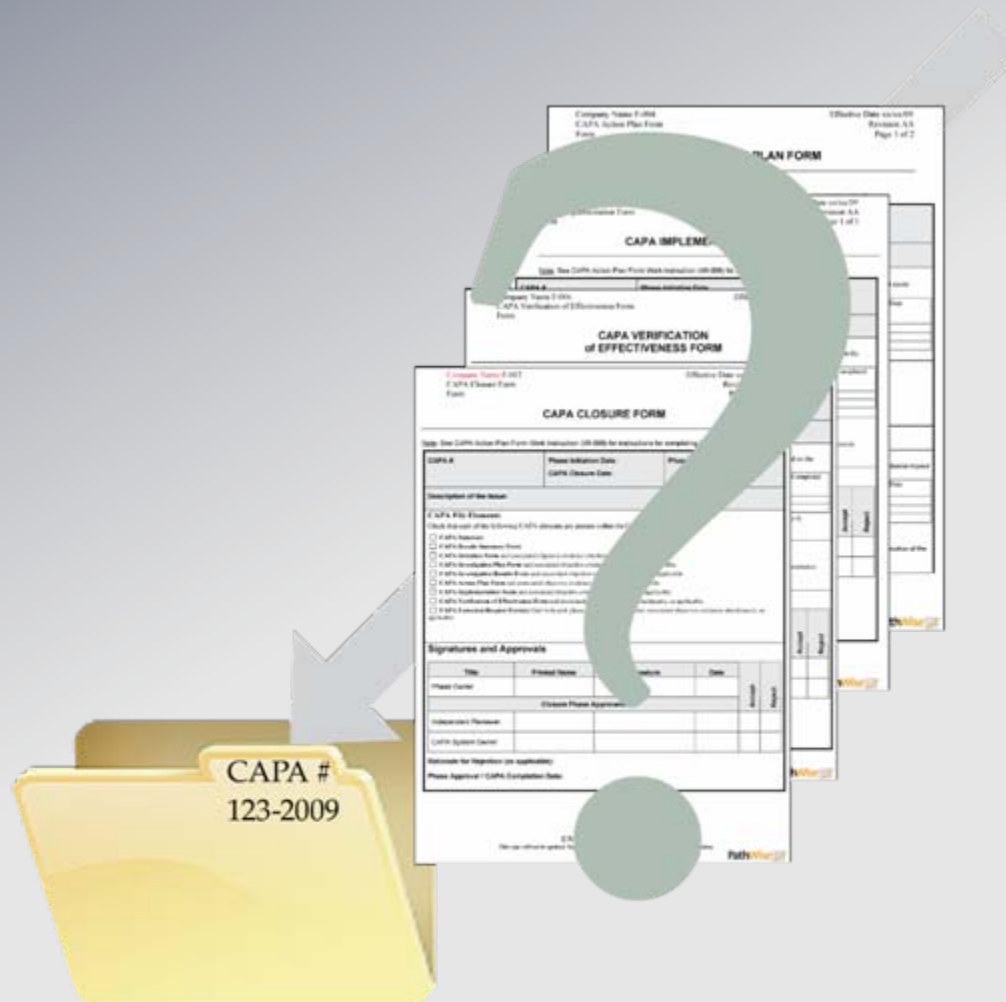
A screenshot of a software window titled "Readability Statistics". The window contains three sections: "Counts", "Averages", and "Readability". Each section lists a metric and its corresponding value. At the bottom right, there is an "OK" button.

Readability Statistics	
Counts	
Words	319
Characters	1772
Paragraphs	16
Sentences	23
Averages	
Sentences per Paragraph	1.6
Words per Sentence	13.4
Characters per Word	5.4
Readability	
Passive Sentences	13%
Flesch Reading Ease	36.2
Flesch-Kincaid Grade Level	11.5
OK	

Caution!

- Use readability statistics as a guide - not a master!
- It's an easy to use, objective tool
- 💣 However, it can create a monotonous, dull document if it's your only tool.
- 💣 There are different readability tools out there, that can give slightly different results.

Investigation Reports



Purpose of an Investigation Report (IR)

R – Record

Within your Quality System

E – Evaluate

- Provides a record that can be understood.
- Allows a variety of audiences to evaluate the information.
- Allows a variety of audiences to access the information.
- The IR documents the events, the investigation and the results.
- The IR demonstrates the quality of the investigation process.
- Demonstrates compliance with regulations.

A – Access

D – Documents

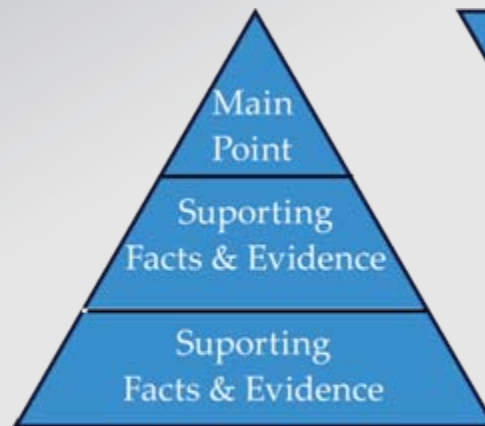
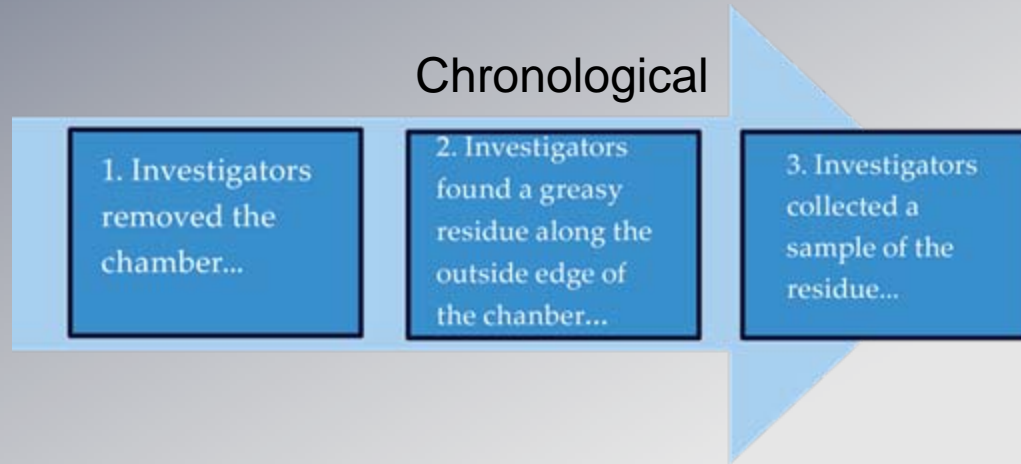
Q – Quality

C - Compliance

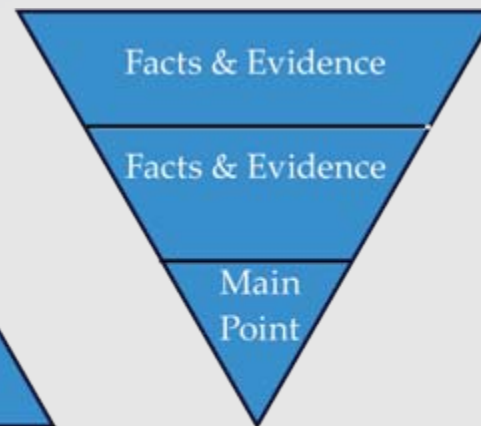
Five Qualities of a Sound Investigation

1. **Well-documented**
2. **Unbiased**
3. **Timely**
4. **Thorough**
5. **Scientifically Defensible**

Three Patterns



Direct



Indirect

Components of IR

Question	Section
• Highlights	Executive summary
• What happened	Overview
• How was it investigated	Investigation
• Conclusion / results	Summary
• Did the actions work	Follow up

Section

Executive summary

Overview

Investigation

Summary

Follow up



Who Are You Writing To?

- Who are your readers?
- How informed are they about the report subject?
- What decision will they need to make after reading your report?
- How much time will they take to read the report?

Common Audience Characteristics

Most readers...

- are NOT eagerly awaiting your document.
- suffer from information overload.
- don't enjoy being challenged.
- don't know the situation as well as you do.
- want to find information easily and quickly.

Can you relate?



Basics of Technical Writing

- **Clear**
- Concise
- Cohesive

Clear

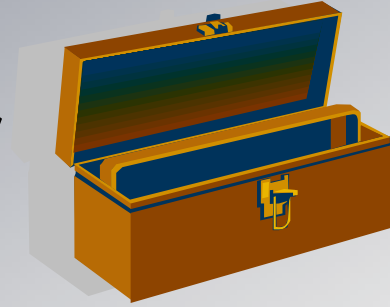
“easy to read... easy to understand”



The audience may not have the **background** that you do.

The more **complex** your subject matter is, the more **clear** your writing needs to be.

What's in Your ?



Five “clear” principles.

1. Active voice.
2. One and two syllable words.
3. Abstract nouns → root words.
4. Specific words.
5. Tone.

Interpret This Paragraph

Try It!



Interpret the following passage:

It was the nocturnal segment of the diurnal period preceding the annual celebratory observance of the emergence of a deified persona gratis into the mundane entity, and through the domicile that is shared by individuals bearing verisimilitude in the appellations that make them cohesive, kinetic perambulations were not in evidence among the possessors of this potential, nor were they evident in that species of domestic carnivores bearing the cognomen of *mus musculus*. Synthetic appurtenances for extreme appendages were meticulously suspended from the forward edge of a carbonaceous-related caloric apparatus, pursuant to our anticipatory hedonism regarding the imminent advent of an eccentric, canonized philanthropist among whose folkloric appellations is the allusion to a “caged” male individual who starred in a cinematic production, the title of which refers to being assaulted by a lunar body, and the female star of which is also known by a monosyllabic name.

Clear Principle 5

Tone

- Avoid **emotional** words.
- Avoid **inflammatory** writing.
- Do not assign **blame**.
- Do not assess **liability**.

Clear Principle 5

Tone

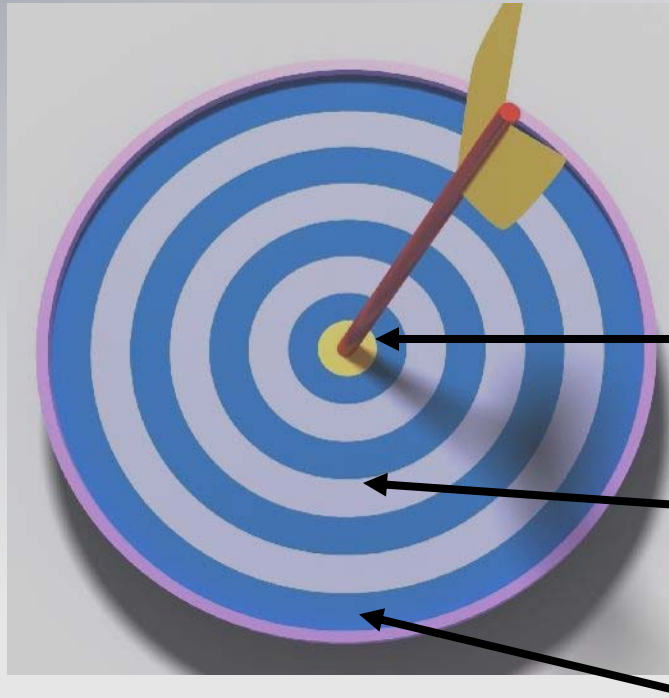
- Abbreviations
- Technical Terms

Basics of Technical Writing

- Clear
- **Concise**
- Cohesive

Concise

“efficient”

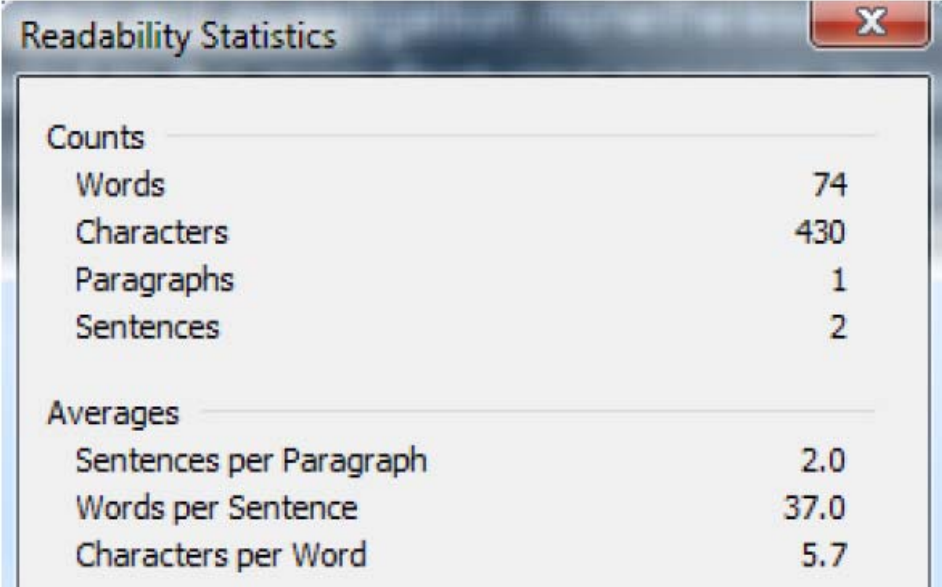


Step by Step process =
10 -12 word sentences

Average length of
sentences = 15-20 words

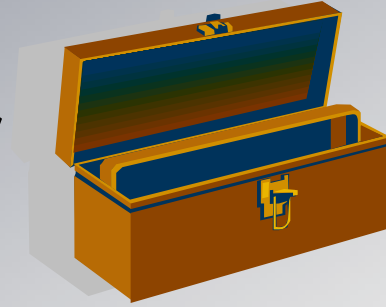
> 20 words = lack of
conciseness

Use your
readability
statistics as a
tool for concise.

A screenshot of a software dialog box titled "Readability Statistics". The dialog box has a standard Windows-style title bar with a close button (X) in the top right corner. The content is organized into two sections: "Counts" and "Averages", each with a horizontal line separator. The "Counts" section lists four metrics: Words (74), Characters (430), Paragraphs (1), and Sentences (2). The "Averages" section lists three metrics: Sentences per Paragraph (2.0), Words per Sentence (37.0), and Characters per Word (5.7).

Counts	
Words	74
Characters	430
Paragraphs	1
Sentences	2
Averages	
Sentences per Paragraph	2.0
Words per Sentence	37.0
Characters per Word	5.7

What's in Your ?



Five “concise” principles.

1. Eliminate redundancies.
2. Delete words that add no value.
3. Replace “be” verbs with action verbs.
4. Replace phrases with single words.
5. Write affirmatively.

Concise Principle 1

Eliminate Redundancies - Doublets

“Just say it once”

What other doublets have you seen?

- | |
|--------------------------|
| 1. Ready and willing |
| 2. First and foremost |
| 3. True and accurate |
| 4. Problems and concerns |
| 5. |
| 6. |

Concise Principle 4

Replace phrases with single words

At this point in time - Now

Has the ability to - Can

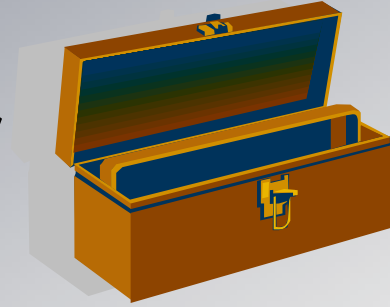
Change the phrases to single words

What other “word wasters” have you seen?

Basics of Technical Writing

- Clear
- Concise
- **Cohesive**

What's in Your



?

Three “cohesive” principles.

1. Transitions.
2. Repeat key words.
3. Old to new.

Secrets of Document Design



Two Levels of Technical Writing



Content

Appearance

Enjoy.....

Notice: Pursuant to Policy 456723, all employees are hereby notified of their rights and obligations regarding correctness of periodic compensation. All inquiries regarding such compensation, the time and attendance report, and the basis for such compensation, the federal and state tax amounts withheld, and the state and local tax withheld, and state employment insurance and deductions for payments for insurance benefits must be presented in person or by a legally empowered representative of the employee within 10 days of issuance of such compensation. An employee adjustment representative is available for administrative assistance during the hours of 9:30 am – 2:30 pm – Monday through Friday. In the event such an inquiry cannot be resolved to the satisfaction of the employee and the EPAR at the time of the initial inquiry, this position will provide a written response by the employee payroll representative within five official workdays. Should the inquirer determine that such response is not acceptable, a notice of appeal of payroll adjustment response must be filed with the director of payroll within 8 official workdays of the date of response.

What's Changed?

To: All Employees

From: Director of Payroll

Date: August 15, 20XX

Subject: Paycheck Accuracy

Please be sure to check the following information on your pay stub:

- Time and attendance reports
- Federal and state tax amounts withheld
- Social Security tax withheld
- State employment insurance tax withheld
- Deductions for insurance benefits

If you have questions, please see a payroll representative within 10 days of receiving your check. The payroll office location and current hours are below:

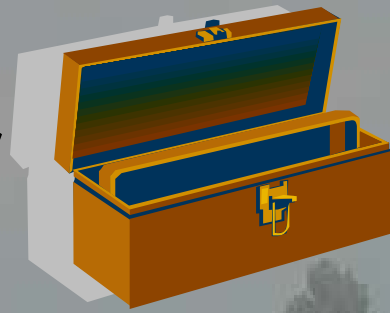
Administration Office Building, Room 2333

Office Hours: 9:30 am – 11 am; 2:30 pm – 4 pm, Tuesday through Friday

If your questions cannot be resolved during your visit, the following steps are required:

- 1 Payroll representative must respond to you in writing within five working days
- 2 If you are dissatisfied with this written response, you may file an appeal with the director of payroll within 8 days

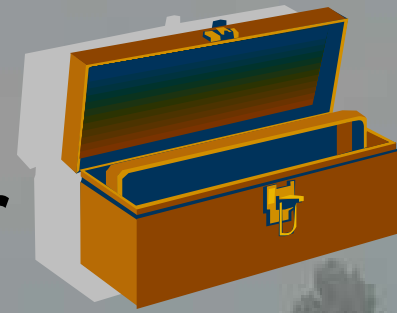
What's in Your ?



7 Elements of Document Design

1. Single-spaced Paragraphs
2. Headings
3. Lists
4. Tables
5. Graphics
6. Typefaces, Type Styles and Type Sizes
7. White Spaces

What's in Your ?



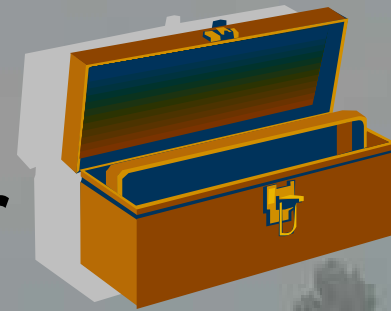
1. Single-spaced Short Paragraphs
 - 6 - 7 sentences - max
 - “chunk” information

Sentence A1 goes here. Sentence A2 goes here. Sentence A3 goes here. Sentence A4 goes here. Sentence A5 goes here. Sentence A6 goes here. All sentences are part of the same idea or theme.

(SPACE)

Sentence B1 goes here. Sentence B2 goes here. Sentence B3 goes here. Sentence B4 goes here. Sentence B5 goes here. Sentence B6 goes here. All sentences are part of the same idea or theme.

What's in Your



?

2. Headings

- Show the “flow”
- Organize information

Introduction

Sentence A1 goes here. Sentence A2 goes here. Sentence A3 goes here. Sentence A4 goes here. Sentence A5 goes here. Sentence A6 goes here. All sentences are part of the same idea or theme.

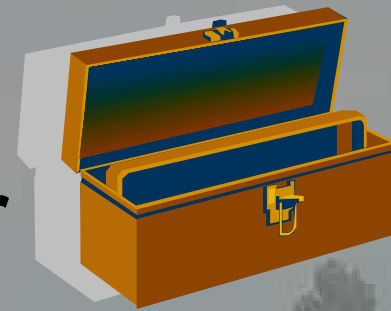
(SPACE)

Sentence B1 goes here. Sentence B2 goes here. Sentence B3 goes here. Sentence B4 goes here. Sentence B5 goes here. Sentence B6 goes here. All sentences are part of the same idea or theme.

Main Topic

Sentence C1 goes here. Sentence C2 goes here. Sentence C3 goes here. Sentence C4 goes here. Sentence C5 goes here. Sentence C6 goes here. All sentences are part of the same idea or theme.

What's in Your ?



3. Lists

- Bulleted
- Numbered

Introduction

Sentence A1 goes here. Sentence A2 goes here. Sentence A3 goes here. Sentence A4 goes here. Sentence A goes here. Sentence A6 goes here. All sentences are part of the same idea or theme.

(SPACE)

Sentence B1 goes here. Sentence B2 goes here. Sentence B3 goes here. Sentence B4 goes here. Sentence B5 goes here. Sentence B6 goes here. All sentences are part of the same idea or theme.

1. Do this
2. Then do this
3. Then do this

Main Topic

Sentence C1 goes here. Sentence C2 goes here. Sentence C3 goes here. Sentence C4 goes here. Sentence C5 goes here. Sentence C6 goes here. All sentences are part of the same idea or theme.

- Example
- Example
- Example

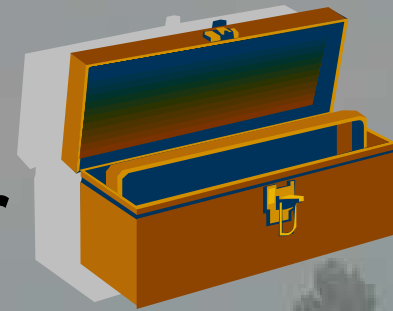
What's in Your ?

4. Tables

Tips on How to Make a Reader-Centered Table

- Use extra space to help organize your table
- Emphasize important information to stand out.
- Sort the row and column headings so that your headings are organized in common groups
- Include only necessary information. Consider dividing a table into more separate tables if it is too large.
- Provide a border around the table for contrast.

What's in Your ?




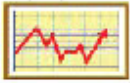
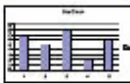
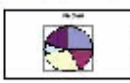
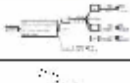

5. Charts and Graphs

here. Sentence C3 goes here. Sentence C3 goes here. All sentences are part of the same idea or theme.

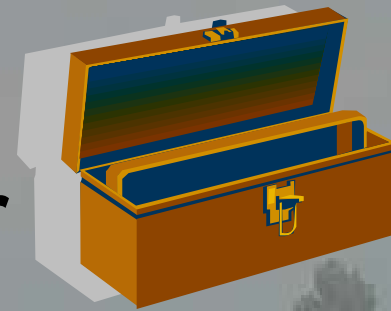
- Example
- Example
- Example

(Times New Roman Font)

A picture is worth a thousand words.

Type of Graphic	Example...	What it does...
Table		Concise displays text when the information is too complex for a simple list. Eliminates repetition of words. Organizes large amounts of text. Helps readers compare information.
Line graph		Clearly shows trends through time or across other variables.
Bar graph		Compares values separately through time or across other variables.
Pie chart		Displays percents, dollar amounts, and comparisons of parts to a whole.
Decision tree		Shows the process used to reach a decision.
Line drawing		Simplifies an object so that readers can easily identify the object's components.

What's in Your



?

6. Typefaces, Type Style and Sizes

- Serif
- Sans serif

same idea or theme.

(SPACE)

Sentence B1 goes here. Sentence B2 goes here. Sentence B3 goes here. Sentence B4 goes here. Sentence B5 goes here. Sentence B6 goes here. All sentences are part of the same idea or theme.

1. Do this
2. Then do this
3. Then do this

(Arial Font)

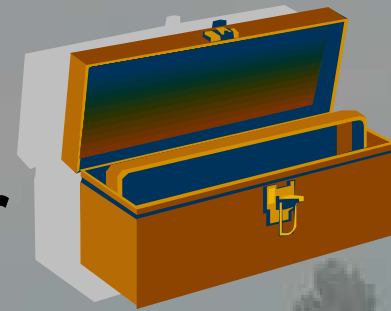
→ Main Topic

Sentence C1 goes here. Sentence C2 goes here. Sentence C3 goes here. Sentence C4 goes here. Sentence C5 goes here. Sentence C6 goes here. All sentences are part of the same idea or theme.

- Example
- Example
- Example

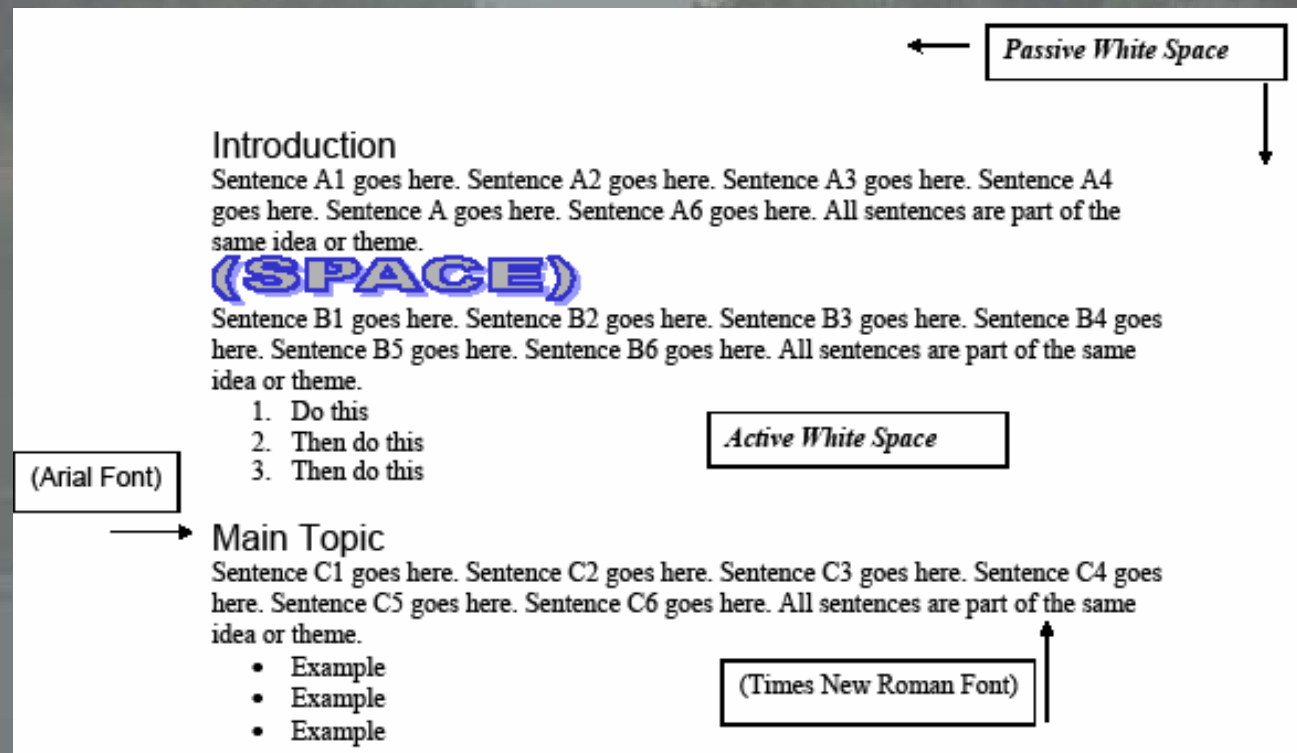
(Times New Roman Font)

What's in Your ?



7. White Space

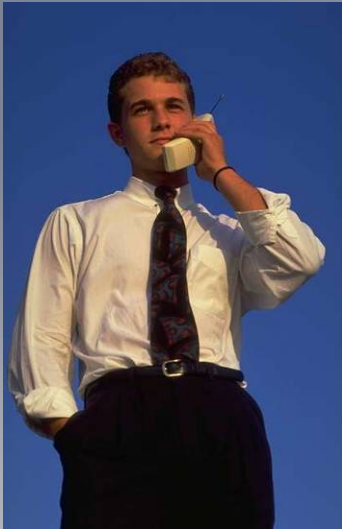
- Passive Space
- Active Space



The Complete Package



- ✓ Keep an organized, dedicated folder/binder for each investigation.
- ✓ File documents in appropriate sections.
- ✓ Use a checklist to ensure completeness.
- ✓ “Connect the dots” within the story.
- ✓ Include origination information for all data.
- ✓ Create an executive summary.
- ✓ Use the origin of the complaint as the cover sheet.



Why an Executive Summary

- An audience's attention is at its peak at the **beginning** of the report.
- Provides a quick **overview** and a sense of where the report is headed.
- Readers decide early on if a report is **credible**.
- Readers decide early if a report is **worth reading**.



Questions

Thank You

For any additional information please
contact:

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www.pathwise.com