Keeping the PEACE

Applying an interview model to research integrity investigations

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Disclosures

- Co-chair of Australasian Research Management Society Ethics & Integrity Network

- Co-Chair Victorian Research Integrity Group

- No CoI

How many of you have a run misconduct investigation?

Why do we need PEACE in integrity interviews?

- Research Integrity complaints must be managed in accordance with the Australian Code for the Responsible Conduct of Research (The Code).

- This may involve interviewing: complainant, respondent and / or witnesses to find out what happened.

- Interviewing respondents, complainants and witnesses can be very difficult and stressful.

- The Guide tells you how to overall run an investigation, but not how to run interviews.

- There are interview models and training out there that can help.

- PEACE model of investigative interviewing is one of them, but needs a bit of tweaking

What is the PEACE model

- Developed in the early 90's as a collaborative effort between police and psychologists in England and Wales.

- Conversational, non-confrontational approach to getting information from interviewee.

- Focus on keeping an open mind and obtaining accurate and reliable information.

- Not focussed on solving /getting an admission.

"The main weaknesses that were identified were a lack of preparation, a general ineptitude, poor technique, an assumption of guilt, unduly repetitive, persistent or labored questioning, a failure to establish the relevant facts and the exertion of too much pressure"
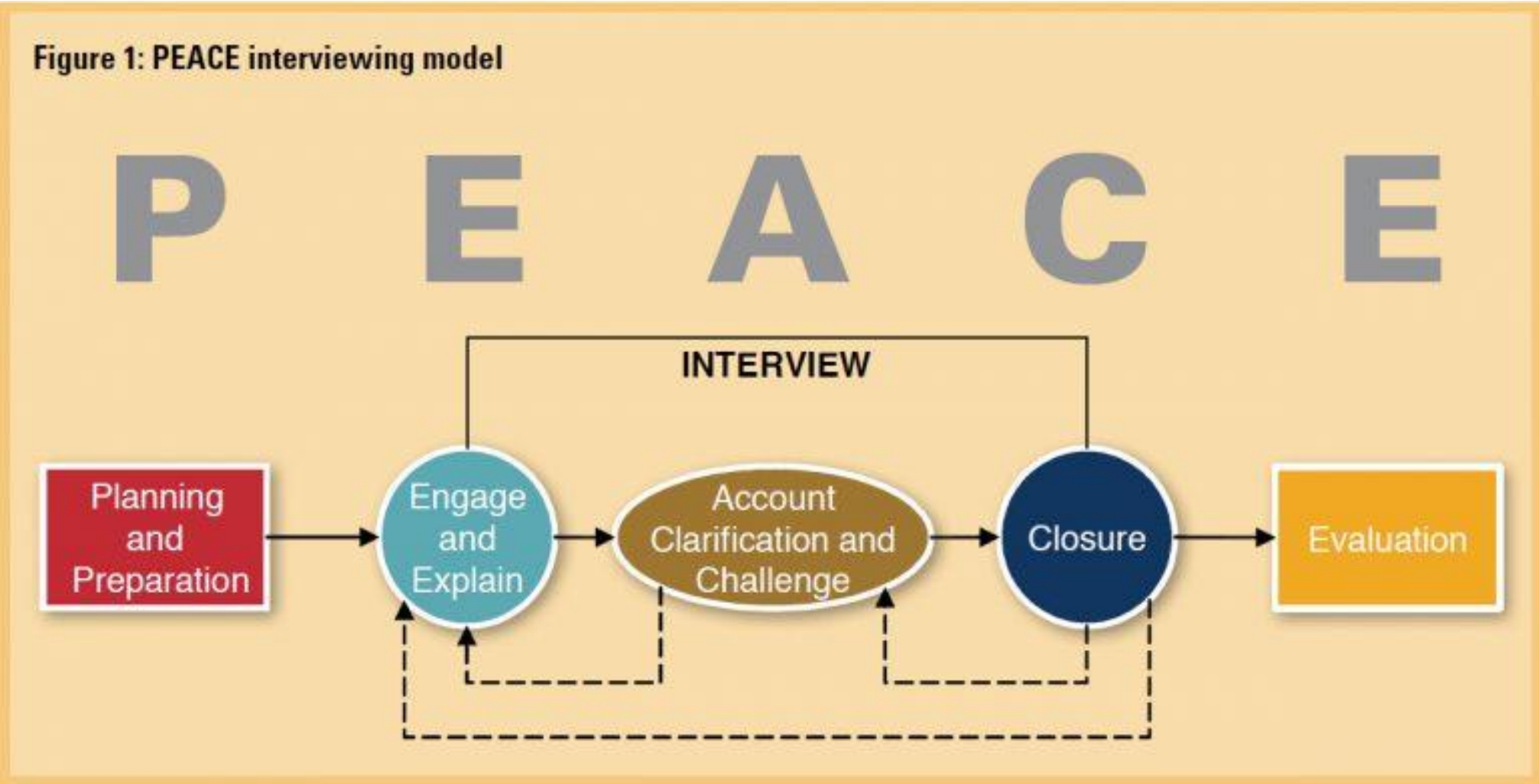
Professor John Baldwin 1992

From interrogation…

To interview

PEACE

Figure 1: PEACE interviewing model

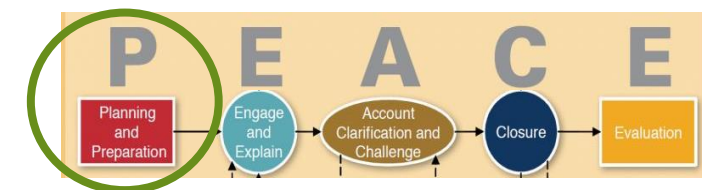# Prepare & Planning

Prepare an interview schedule and plan

- Location & Timing
- Order of interviews
- Interview plan & objectives
- Background research & contingency planning

Invitation for the interview

- Details of the complaint/why they are being interviewed
- Information you want them to bring
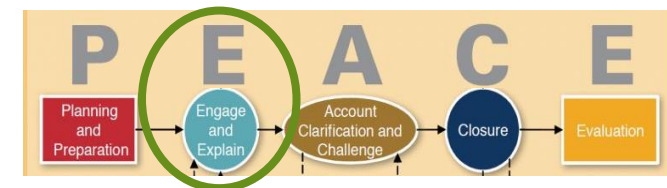- Support person, details of recording

Engage & Explain

Engage Phase

Introductions, establish rapport and build relationship

Explain Phase

Outline purpose of interview and the interview process

Engage & Explain

Hi, I'm Dr Nitya Phillipson and I have asked you here today as we are investigating a number of substantial allegations that you did not appropriately manage your research data and breached section 11 of the code of conduct. You have been offered a support person and I will be audio recording the interview. Let's get started with my first question.
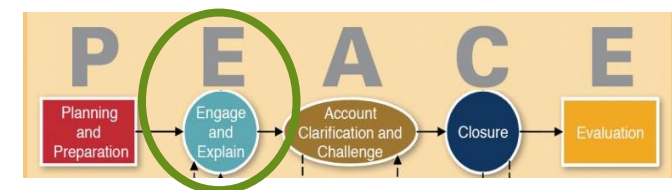
Engage & Explain

Hi, Did you find the office ok? I'm Nitya, the Head of Integrity here at the institute. I've been asked to look into a report of missing lab data and to assist I need to interview you. Is this still a good time to discuss this matter? I'm pleased to see you brought a support person along with you today. In this interview you'll do most the talking as I want to hear from you but feel free to take as many breaks as you need. I will be asking some questions and taking notes. I will also be audio recording this interview, so we have an accurate record of our meeting. Is that ok with you? Are you ready to get started?
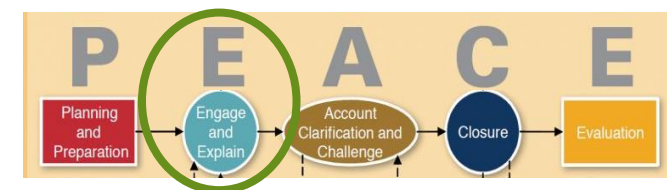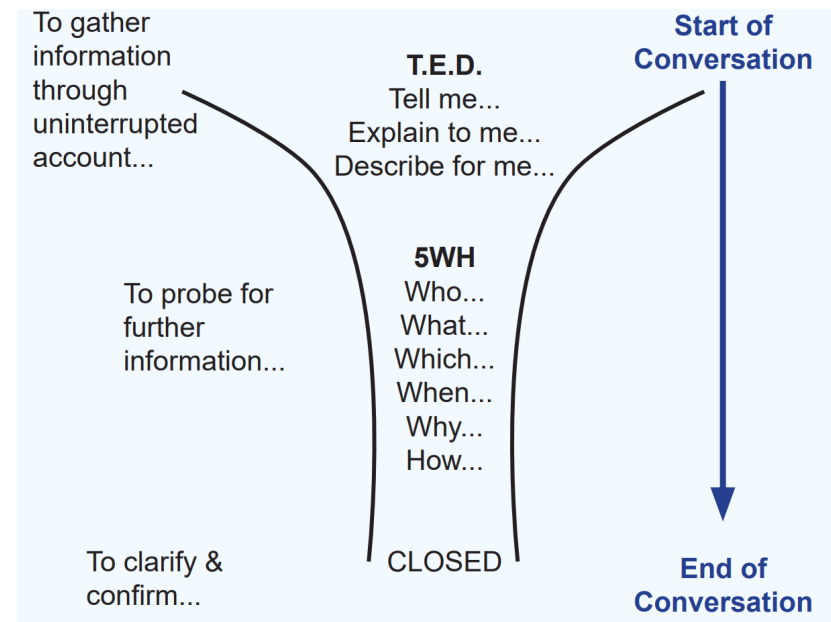
Account, Clarification, Challenge

Account- Obtain free recall of interviewees account/version of events

Clarification- Probe and refine, get more detailed information and cover investigative important points

Challenge- Raise any inconsistencies/areas of discrepancies

To gather information through uninterrupted account...

T.E.D.
Tell me...
Explain to me...
Describe for me...

Start of Conversation

To probe for further information...

5WH
Who...
What...
Which...
When...
Why...
How...

To clarify & confirm...

CLOSED

End of Conversation

https://www.fis-international.com/assets/Uploads/resources/PEACE-A-Different-Approach.pdf

Account, Clarification, Challenge

Account (T.E.D)
Tell me how this paper came about?
Describe your PhD student's involvement in the paper?

To gather information through uninterrupted account...

Start of Conversation

T.E.D.
Tell me...
Explain to me...
Describe for me.

To probe for further information...

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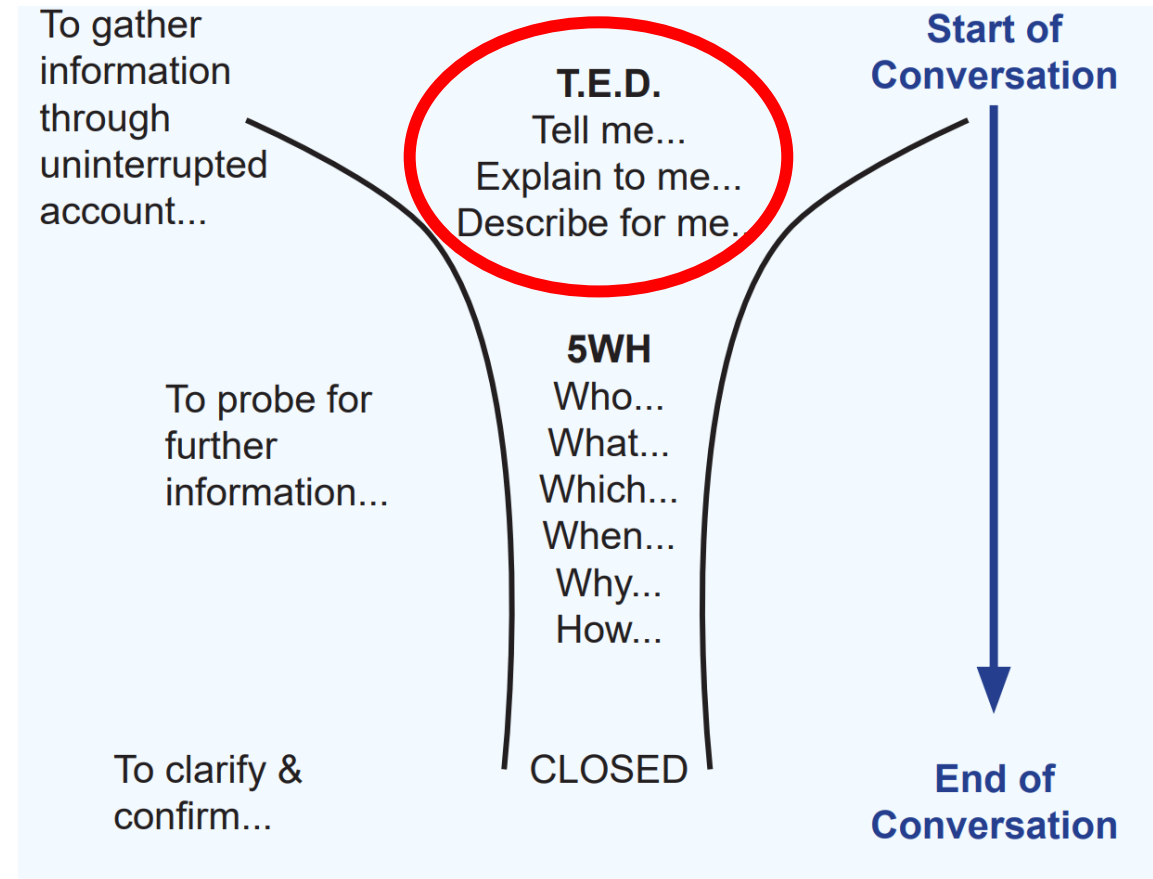
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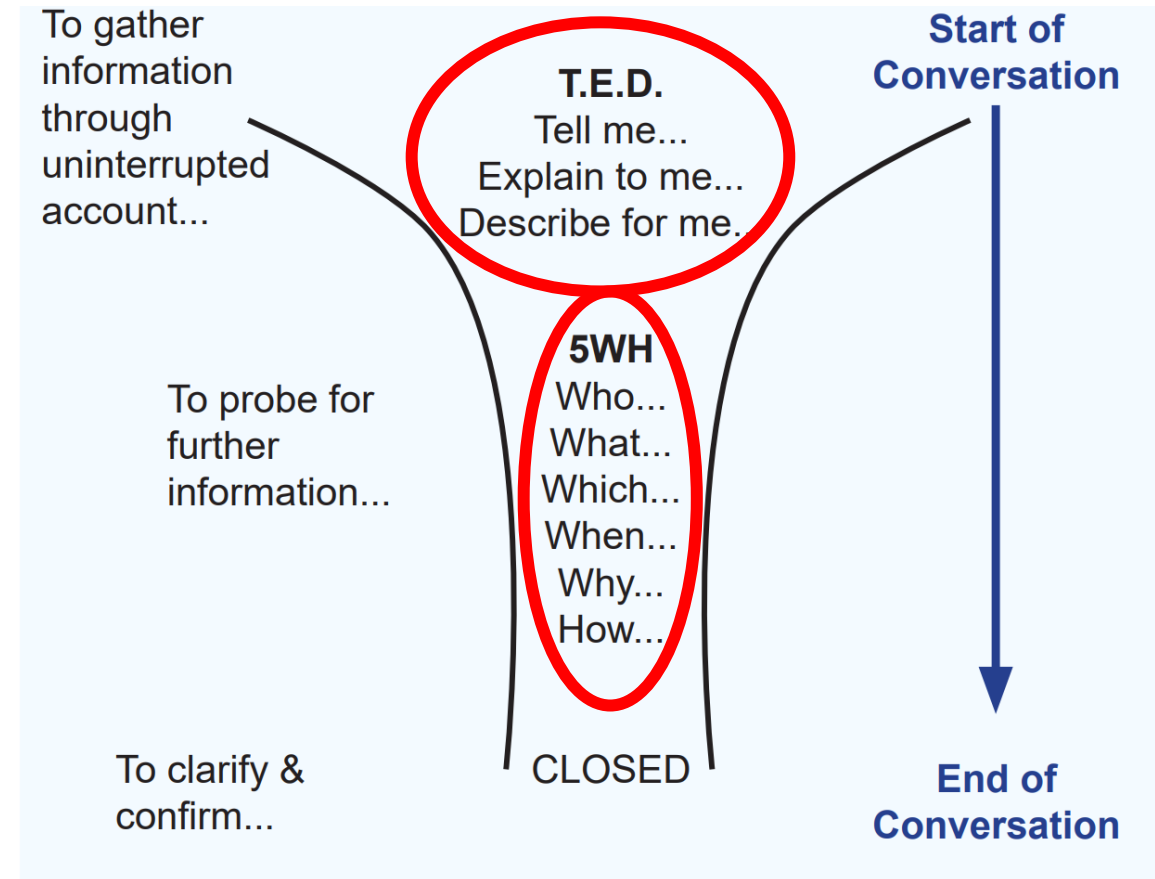

Account (T.E.D)

Tell me how this paper came about?

Describe your PhD student's involvement in the paper?

Clarify (5WH)

When did you decide to use the figures from your student thesis for this publication?

Why was the PhD student left off as an author?

Who made that decision?

To gather information through uninterrupted account...

T.E.D.
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PEACE

Planning and Preparation | Engage and Explain | Account Clarification and Challenge | Closure | Evaluation

Account, Clarification, Challenge

Account (T.E.D)

Tell me how this paper came about?

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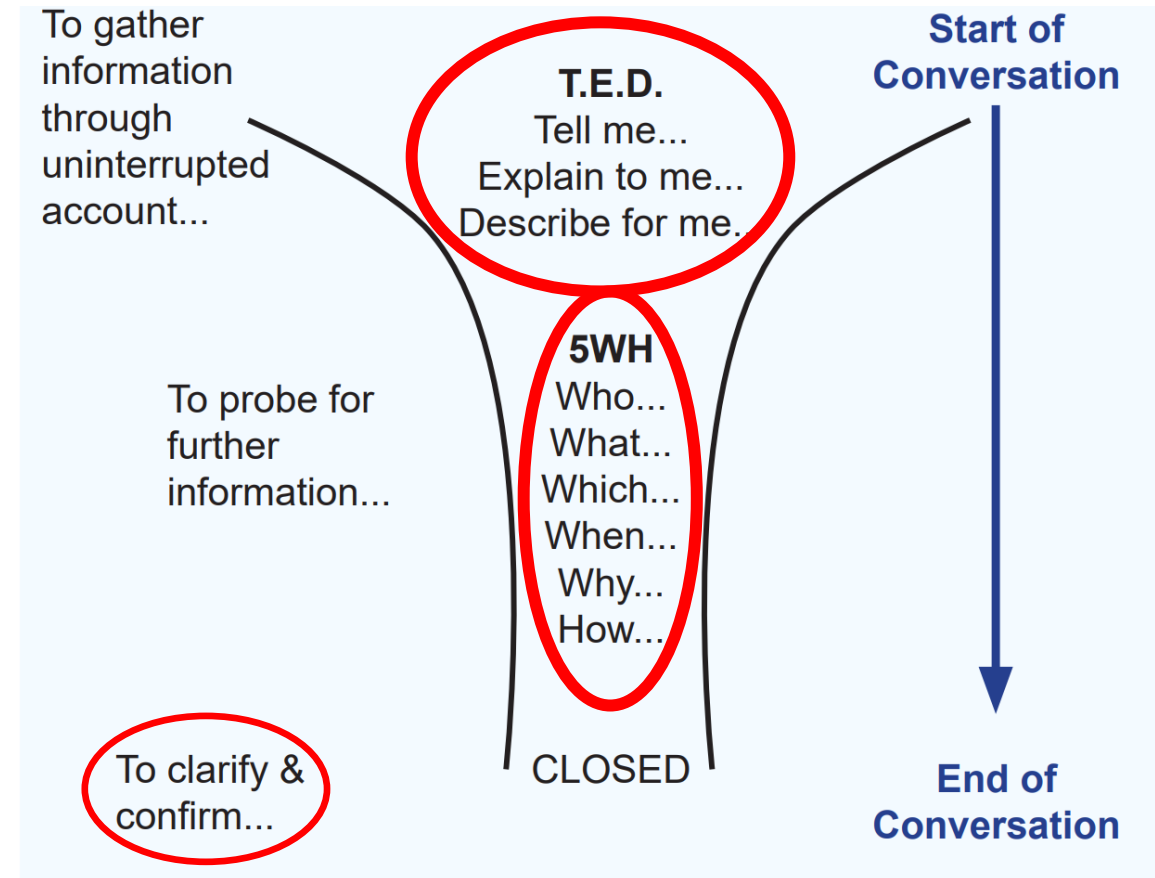
Clarify (5WH)

When did you decide to use the figures from your student thesis for this publication?

Why was the PhD student left off as an author?

Who made that decision?

Challenge

To clarify, you said the paper was your student's idea & they sent a first draft, but you later said they hadn't made a substantial contribution, can you confirm this?


To gather information through uninterrupted account...

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To clarify & confirm...

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End of Conversation

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Closure

- Summarise the information.

- Provide an opportunity to add/change or clarify any points.

- Is there anything else they'd like to tell you?

- Ask if they have any questions.

- Consider duty of care issues.

- Confirm next steps and timelines.

Evaluation

JOB EVALUATION DAY
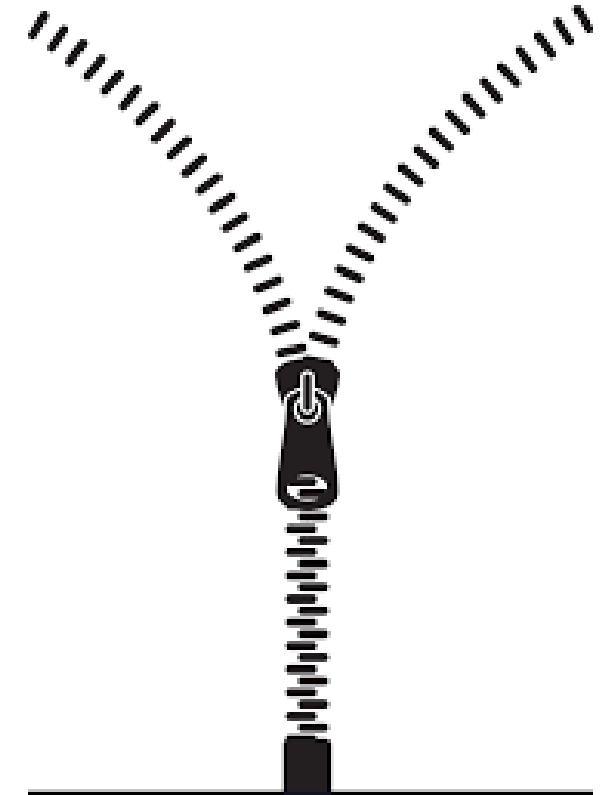
- Review & assess the information gathered.

- Go back to your interview plan. Did you get the information you needed?

- Identify any further lines of enquiries.

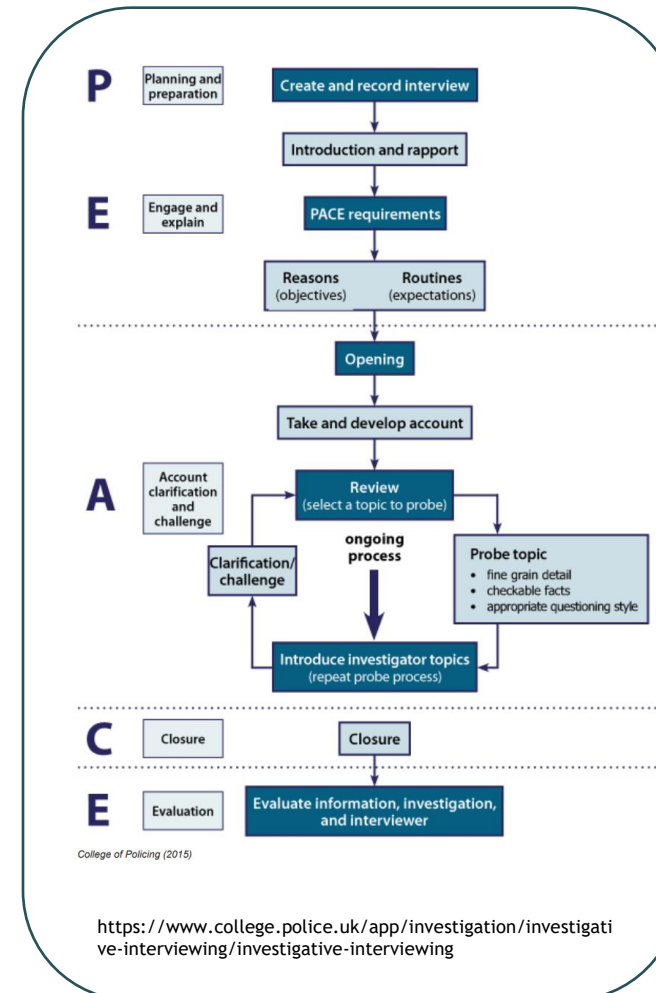- Ask a colleague to help evaluate the interview, use a checklist.

How does the PEACE model help?

- Law enforcement focussed, can be adapted for integrity interviews.

- Useful way to get the full story without presumption or bias.

- Reduces the stress & increases confidence.

- Methodical and consistent approach.

- Templates and tools to support investigations and interviews.

- Can be used to support other conversations

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https://www.college.police.uk/app/investigation/investigative-interviewing/investigative-interviewing

FIS Handbook

PICA Handbook

Big Question Company Cheat Sheet

https://www.youtube.com/watch?v=LAdNzREnqZI

Interrogation

Interview

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