

Description of the Course

The Wicklander-Zulawski Seminar on Auditing and Interviewing Techniques is a 40-hour course designed to enhance improve the auditing and interviewing abilities of USAID OIG Auditors. The goal of the program is to enable auditors to better meet audit objectives of obtaining complete and relevant information. The objectives of the training are to improve skills to effectively prepare and conduct structured audits and interviews with USAID staff, implementing partners, beneficiaries and other parties.

The initial 2-day auditing segment will focus on determining the critical items for the audit; identifying and utilizing applicable federal regulations, USAID regulations, Executive Orders, and Mission Orders; and preparing for the entrance conference. This 16-hour instructional block will focus on conducting audits of contracts, grants, and cooperative agreements.

The 3-day interviewing segment of the seminar will teach multiple approaches that have proven to be critically important in building rapport, reading verbal and physical behavior, improve active listening, phrasing appropriate questions, overcome denials and objections, and write concise reports. The interviewing training will include instruction in the WZ Non-Confrontational Method. This technique has proven to be of significant value in educating, or drawing out, information from subjects and sources. In many cases, the interviewee can be engaged in such a manner that he or she reveals information without being aware of giving away anything of value. The WZ Method is especially effective in establishing rapport, opening conversation and maintaining interaction with a source that appears initially unwilling to provide information.

Course Agenda

The emphasis of the first two days of the seminar will be on:

- Auditing Contracts, Grants, and Cooperative Agreements
- Identifying critical items for the audit
- Identifying applicable federal regulations, USAID regulations, Executive Orders, and Mission Orders
- Preparing for the entrance conference

More specifically, instruction will be provided in the following topics:

- Obtaining the documents needed for the audit (complete contract, grant, cooperative agreement; all modifications; implementing partner's proposal; source selection memorandum; negotiation memorandum; COR/AOR designation letter; statement of work, performance work objectives, or statement of objectives; mission's activity approval memorandum; current obligation and expenditures from Phoenix (USAID's tracking system)
- Identifying the key federal regulations and how to use the Federal Acquisition Regulation (FAR) <http://farsite.hill.af.mil/>

The most important parts of the FAR are:

Part 6 – Competition

Part 13 – Simplified Acquisitions

Part 14 – Sealed Bidding

Part 15 – Negotiated Contracts

Part 16 – Contract Types

Part 19 – Small Business Requirements

Part 31 – Cost Accounting

Part 42 – Contract Administration

Part 52 – Clauses

- AIDAR (USAID Acquisition Regulation) is USAID's supplement to the FAR

The most important parts of AIDAR are:

ADS 302 – USAID Direct Contracting

ADS 303 – Grants and Cooperative Agreements to Non-Governmental Organizations

- Laws, Policies, and Guidance regarding unallowable funding to terrorists, suspended or debarred contractors, etc. (Executive Orders, Mission Orders, Department of the Treasury, Office of Foreign Assets Control website)
- Preparing for the entrance conference by:

Determining option years and award terms

Leveraging or cost sharing

Obtaining copies of all performance reports

Reviewing all changed not approved by the contracting officer

Determining whether key vendor personnel meet contract requirements

Obtaining sub-awards and subcontracts – look for relationships between prime and sub, etc.

Checking with OIG Investigations whether partners are under investigation

Determine if key personnel (chief of party, financial manager) have been terminated and the reason

Review any memoranda of understanding

Reviewing the entire contact or agreement and make an outline of requirements

- Determining the importance of dates and when work actually began with an emphasis on possible funds control violations
- Understanding the role of the contracting officer's representative/acquisition officers representative (COR/AOR) and their responsibilities.

The last three days of the seminar will provide instruction on multiple approaches that have proven to be critically important in building rapport, reading verbal and physical behavior, improve active listening, phrasing appropriate questions, overcome denials and objections, and write concise reports.

1. Review of Interviewing for Audits and Profile of Successful Interviewer
2. Interpretation of Physical and Verbal Behavior
3. Interview Preparation, Showing Understanding and Interview Flow
4. Selective Interview Techniques
5. Telephone Interviewing
6. Emphatic and Explanatory Denials
7. Submission
8. Development of Information
9. Report Writing

In addition to these base topics, instruction will be provided on "Reducing Resistance During the Interview" and the "WZ Non-Confrontational Method". The WZ Non-Confrontational Method is a softer more conversational approach to the interview resulting in fewer denials and objections and thereby eliminating conflict between the suspect and interviewer. These WZ proprietary techniques will encourage a subject to volunteer rather than deny. Since there are fewer denials, the development of the required information is relatively seamless.

Topics included in this module include how to:

- Establish Behavioral Norm
- Develop Rapport
- Introduce Who You Are and What You Do
- Discuss Types of Audits Conducted
- Explain How Audits are Performed

- Summarize Possible Rationalizations
- Introduce First Rationalization
- Change the Subject's Perspective
- Address Subject's Hope of Their Mental State
- Create Urgency, Protect Evidence
- Test for Submission
- Ask Assumptive Question
- Ask Follow-up Questions
- Support Subject's Admission
- Develop the Admission – Who, What, When, Where, How, and Why
- Complete the Written Statement – Letter of Explanation

Calculation of CPE Credit Hours

As a Group Live Program, the Wicklander-Zulawski seminar is considered an educational process designed to permit a participant to learn a given subject through interaction with an instructor and other participants in a classroom setting. In accordance with GAGAS, a CPE credit hour is equivalent to fifty minutes of participation in a program of learning. Therefore, the equivalent CPE credit hours for the "Wicklander-Zulawski Seminar on Auditing and Interviewing Techniques for Fraud" is being calculated as 5 days x 7 hours of participation x 60 minutes/hour divided by 50 minutes or 42 CPE credit hours.

Biography of Program Developers and Seminar Instructors

Christopher P. Norris, CFI® - Director of Webinar Training and WZ Europe and International Training, is a speaker for Wicklander-Zulawski & Associates, Inc. (WZ). Chris has over 25 years of experience in the loss prevention and investigative fields. He has trained thousands of human resource, audit, loss prevention, security and law enforcement professionals on the art of interview and interrogation and has conducted numerous investigations for both private companies and public agencies. Chris has provided interview training in North America and internationally, including many seminars simultaneously translated into French, Spanish, German and Polish.

Since joining WZ in 2000, Chris has presented at several national meetings including the National Retail Federation (NRF), the Canadian Association of Police Polygraphists, Retail Council of Canada (RCC), Asociacion Nacional de Tiendas de Autoservicio y Departamentales (ANTAD), American Society of Industrial Security (ASIS) and National Child Advocacy Conference (NCAC). He is a regular guest instructor at the Federal Law Enforcement Training Center providing training to the U.S. Immigration and Customs Enforcement Office of Professional Responsibility (ICE OPR), ICE Homeland Security Investigations (ICE HSI), the U.S. Department of State's Bureau of Diplomatic Security Services, and the Office of Inspector General (OIG) Criminal Investigator and Audit Academies, among others. Chris has even had the privilege and unique task of providing training at the United States Embassy in Kabul, Afghanistan.

Chris began his career as an Asset Protection Officer for Mervyn's Department Stores in Phoenix, Arizona. He also held Asset Protection Manager and District Investigator positions with Mervyn's in Tulsa, Oklahoma. Chris has also held positions as Loss Prevention Manager for Saks Fifth Avenue in Chicago, Illinois and Corporate Loss Prevention Manager and Director of Investigations for Merchants Home Delivery Service, Inc. In that position, he was responsible

for all investigations, interviews, and awareness programs throughout North America. He also had the unique task of creating hiring protocol programs and recruiting for the company.

Chris holds degrees in Liberal Arts and Business Management, is a member of the American Society for Industrial Security, and is a Certified Forensic Interviewer (CFI®).

Mr. James Bonnell is an accountancy and financial management professional with over 35 years of Federal auditing experience, including almost 20 years with the U.S. Government Accountability Office (GAO) and 15 years with the USAID Office of Inspector General. Since retiring from the Federal Government, he has carried out numerous international consulting assignments, specializing in providing technical assistance to developing Supreme Audit Institutions. Mr. Bonnell is currently a Principal of International Business & Technical Consultants, Inc (IBTCI) of Vienna, VA. Most recently, he served as Project Director and Technical Expert for a financial and procurement assessment of Population Services International's headquarters operations for the Global Fund. At IBTCI, he has also served as Team Leader and Performance Audit Expert for the World Bank funded project for Strategic Development of the Court of Accounts of Moldova from October 2008 through 2010 and was also IBTCI's Team Leader on the second World Bank funded project implemented during 2011 to provide assistance to the Court to develop a methodology for undertaking audits of local authorities. Mr. Bonnell serves as the current IQC Manager for IBTCI's Stand-by Fiscal and Procurement Agent services ID/IQ contract and the Capacity Building Assessment, Training and Development, and Related Short-term Support Services ID/IQ (covering accounting, auditing, budgeting, and financial management) with the MCC. His areas of expertise include: 1) improving the transparency and effectiveness of public sector organizations, including public sector audit organizations; 2) analyzing and advising on financial management systems; and 3) assessing and improving internal control systems.

Mr. Bonnell is a graduate of the Pennsylvania State University, receiving a BS in Accounting and a Masters of Public Administration. He is a CPA and Certified Government Financial Manager. He is a member of the American Institute of Certified Public Accountants, the Institute of Internal Auditors, the Association of Certified Fraud Examiners, and the International Consortium on Government Financial Management.

Alternate Instructors for Mr. Norris

David E. Zulawski, CFI®, **CFE**, is a graduate of Knox College, Galesburg, Illinois. After college, Dave spent two years with the Chicago & Northwestern Railroad as a Special Agent primarily investigating thefts from interstate shipments in northern Illinois. He then accepted a police officer position with the Barrington, Illinois Police Department. As a police officer, his duties included patrol, investigations and evidence technician. He joined the staff of John E. Reid and Associates as a polygraph examiner, seminar instructor and was later named Director of the Police and Fire Applicant Screening Division at the firm.

Dave is a founding partner of Wicklander-Zulawski & Associates, Inc. (WZ) and is responsible for research and development. He is a licensed polygraph examiner in Illinois and has personally conducted over 10,000 interviews and polygraph examinations.

As a Certified Forensic Interviewer (CFI) Dave is Chairman of the Advisory Committee of the Center for Interviewer Standards and Assessment and worked to develop the Certified Forensic Interviewer (CFI) certification examination. He is also a member of The Loss Prevention Foundation, and a Certified Fraud Examiner (CFE).

Dave has co-authored the text Practical Aspects of Interview and Interrogation, 2nd Edition, with Douglas E. Wicklander. In addition to the textbook, he has also contributed chapters on interviewing and interrogation for three other books.

Along with Shane Sturman, Dave writes an ongoing column in Loss Prevention magazine on topics relating to investigation and interviewing. Dave has also authored training programs and acted as consultant during the writing and filming of numerous interactive computer video programs relating to interview and interrogation. He has also testified as an expert witness in the areas of interview and interrogation.

Shane G. Sturman, CPP, CFI®, is the President/CEO and Partner of Wicklander-Zulawski & Associates, Inc. (WZ). He started with WZ in 1994 as a seminar speaker and Co-Director of Investigations. Shane was named Vice President of Operations in 2001 and then President of the firm in 2006. Later, in 2008, he was designated as CEO.

Shane is an internationally recognized speaker on interview and interrogation techniques and has presented thousands of seminars on the topic to federal agencies, law enforcement and the private sector. He has been asked to speak at numerous national and international conferences including the National Retail Federation (NRF), American Society of Industrial Security (ASIS), Food Market Institute (FMI), Retail Industry Leaders Association (RILA) and Eye for Retail – Europe, among others. As an investigator, Shane has personally conducted thousands of interviews and interrogations for both private and public agencies.

Shane started his career with Target Stores in Southern California as a store detective. With over 22 years of experience in loss prevention, he has held many positions including Director of Loss Prevention for Price Savers Membership Warehouse.

Shane received his Bachelor of Science degree in Business Management from the University of Phoenix. Shane is also a member of the American Society for Industrial Security, a member of the ASIS Retail Council, a Certified Protection Professional (CPP), a Certified Forensic Interviewer (CFI), a member of the Center for Interview Standards & Assessment (CISA) Advisory Council and a member of The Loss Prevention Foundation.

L. Wayne Hoover, CFI®, started with Wicklander-Zulawski & Associates, Inc. (WZ) as the Undercover Coordinator, in 1991. Since Wayne has been employed at WZ he has become an Owner of WZ and the Vice-President of CFI Programming for the Center for Interviewer Standards & Assessment Ltd. (CISA), a company affiliated with WZ. CISA provides the certification process for qualified Interviewers and Interrogators to become a Certified Forensic Interviewer (CFI).

While working with WZ Wayne has conducted thousands of interviews and interrogations for both the private and public sectors. He has also taught hundreds of seminars on Interview and Interrogation Techniques, both domestically and internationally. He has spoken at numerous national and international conferences including the International Law Enforcement Education and Trainers Association (ILEETA) conference, National Child Advocacy Conference (NCAC), National Retail Federation (NRF), Retail Industry Leaders Association (RILA), Food Marketing Institute (FMI), Federal Law Enforcement Training Center (FLETC), and numerous Chapters of the Association of Certified Fraud Examiners (ACFE), among many others.

Wayne was a member of the Illinois Fire & Police Commissioners Association for 6 years. He was also Police Commissioner for North Aurora, Illinois, Police Department. He is a Certified Forensic Interviewer and a member of the CFI Advisory Board, Editor for the CFInsider Journal as well as a member of The Loss Prevention Foundation.

Wayne graduated from Illinois State University in Normal, Illinois. Wayne received a B.S. degree in Criminal Justice. Wayne currently lives in Sugar Grove, Illinois with his wife Stefanie and four children; Brittany, Brett, Greg and Payton.

Brett L. Ward, CFI®, Vice President of Client Relations, is a renowned speaker for Wicklander-Zulawski & Associates, Inc. (WZ), who has led over 750 seminars on Interview & Interrogation Techniques for private, law enforcement and government entities. Brett, also a consultant for Wicklander-Zulawski & Associates, Inc. has conducted hundreds of investigations throughout the United States for both the public and private sectors. Since employed with WZ, Brett has spoken at several national organizations' annual meetings including the National Retail Federation (NRF), American Society of Industrial Security (ASIS), Eye For Retail – Europe, and the Labor & Employment Conference - HR (SHRM). Brett has extensive training in the government sector including such clients as the Bureau of Alcohol, Tobacco, Firearms and Explosives (ATF), Federal Bureau of Investigations (FBI), US Bureau of Citizenship and Immigration Service (CIS), the U.S. Department of State's Bureau of Diplomatic Security Services, and the Naval Criminal Investigative Service (NCIS) where courses were taught at the Federal Law Enforcement Training Center (FLETC) in Glynco, Georgia.

Brett began his career in corporate investigations in 1988 with the former May Company-Foley's Division. He held multiple positions throughout his tenure including Area Investigator and Corporate Investigations Manager. Brett was promoted to Regional Investigator over multiple states in 1996 before accepting his position with Wicklander-Zulawski & Associates, Inc. in April 1998. He currently runs the Private Division for WZ, a responsibility including 240+ clients and 150+ contractual and open registration programs annually.

Brett graduated from the University of Central Oklahoma in Oklahoma City, Oklahoma, and received a BS degree in Finance - Business Administration. Brett currently lives in Houston, Texas with his son Drew Roderick.

Michael (Mike) G. Reddington, CFI® Manager of Investigations and Consulting for **Wicklander-Zulawski & Associates, Inc. (WZ)** is a featured instructor who has facilitated hundreds of Interview and Interrogation training programs. He has facilitated seminars for federal agencies such as the U.S. Citizenship and Immigrations Services (USCIS) and The Office of the Inspector General (OIG), The Equal Employment Opportunity Commission (EEOC), Diplomatic Security Services (DSS) and the U. S. Postal Service (USPS) plus seminars for law enforcement, loss prevention, auditor and human resource groups throughout the United States, England, Ireland and Canada. Michael has also presented for several national organizations including the National Retail Federation (NRF), Food Marketing Institute (FMI) and the American Society for Industrial Security (ASIS). In addition Mike is responsible for conducting and coordinating investigations for both the public and private sector for WZ.

Mike began his career with Sears in loss prevention, as a detective in their Manchester, New Hampshire location. He then assumed a variety of loss prevention management roles handling problem high-shrinkage locations and facilitating training programs in Connecticut and New Jersey.

Mike's career in LP management continued with Bloomingdale's in the metropolitan New York City region where he earned their loss prevention National Investigative Excellence award for two consecutive years prior to joining WZ.

Prior to his career in Loss Prevention Mike spent five years teaching disabled children. During that time he spoke to groups of teachers from around the country regarding innovations in the field of educating the disabled.

Mike graduated with honors from Southern New Hampshire University and holds a bachelor's degree in Business Management.

Contribution to Participants Professional Knowledge and Competence

The WZ Seminar on Auditing and Interviewing Techniques provides the USAID OIG Auditor with tools to conduct more effective interviews in order to better prevent and detect fraudulent or criminal activity. Additionally, the techniques taught in this program enhance critical skills to uncover other dishonest or unlawful activities that may or may not be related to the primary audit or investigation. Upon completion of this course, participants will be more proficient in:

- Assessing verbal and non-verbal behavior to evaluate truthfulness.
- Overcoming resistance, handle denials, offer rationalizations and detect deception.
- Asking non-accusatory, non-threatening questions to identify indicators of fraud.
- Their elicitation competencies to significantly increase actionable intelligence.
- Uncovering the evidence that leads to truth and accountability.
- Identifying the methods used by the subject to conduct malfeasance.
- Recommending controls to prevent the future fraudulent activity.

Company and Key Personnel Contact Information

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Wicklander-Zulawski & Associates, Inc. is a Certified Small Business Concern

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