



Contents

<i>List of Illustrations</i>	xxxiii
<i>Preface</i>	xxxvii
<i>Acknowledgments</i>	xliii

PART 1: Foundations for Interviewing and Investigating	1
Chapter 1: Introduction to Interviewing and Investigating	3
A. Why These Skills Are Important to the Lawyer	3
1. The relationship between law and fact	5
2. Factual analysis	6
a. Comprehension	6
b. Evaluation	7
c. Application	9
3. The role of factual investigation in civil litigation	10
a. By the attorney for the plaintiff	10
b. By the attorney for the defendant	10
4. The role of factual investigation in criminal litigation	11
5. The role of factual investigation in other legal representation	12
B. Other Skills and Areas of Knowledge Related to Interviewing and Investigating	13
1. Substantive law	13
2. Legal research and writing	13
3. Rules of evidence	14
4. The adversarial system and rules of procedure	14
5. Ethics and professional responsibility	14
C. The Lawyer's Use of Paralegals in Interviewing and Investigating	15
1. Lawyers using paralegals	15
2. Definition of a paralegal	15
3. The paralegal as an agent of the attorney	16
a. The actions of the paralegal may be legally binding on the attorney and the client	16
b. The attorney may be liable for damages caused to another by the paralegal	16
c. The attorney may be sanctioned for actions of the paralegal	17
4. Paralegals as licensed private investigators	19
5. What attorneys expect from paralegals	19
a. The willingness to work under the supervision of the attorney	19
b. The initiative to clarify assignments	19
c. Good judgment	19
d. The discipline to keep the supervising attorney well advised	19
e. The ability to work well under pressure	20

f.	Good communication and people skills	20
g.	Objectivity	20
h.	Thoroughness	20
i.	Creativity	21
j.	Sound interviewing and investigating skills	21
	Chapter Summary and Conclusion	21
	Review Questions	22
	<i>Key Words and Phrases to Remember</i>	22
	<i>Learn by Doing</i>	23
	Chapter 2: Ethical and Professional Responsibilities for Legal Professionals Engaged in Interviewing and Investigating	25
A.	Sources of Ethical and Professional Responsibility	26
1.	State statutes that prohibit the unauthorized practice of law (UPL)	26
2.	Mandatory ethical rules governing attorneys	26
3.	Ethical rules promulgated for the paralegal	27
4.	Guidelines for attorneys and paralegals working together in the law office	27
5.	Advisory ethical opinions	27
B.	Consequences of Unethical Conduct	28
1.	To the lawyer	28
a.	The lawyer may be fired by the client	28
b.	The lawyer may be sued by the client damaged by the unethical behavior	28
c.	The lawyer may be sanctioned	29
d.	The lawyer may face criminal prosecution	29
e.	The lawyer's reputation may be damaged	29
2.	To the paralegal	30
a.	The paralegal may lose employment	30
b.	The paralegal may lose certification	30
c.	The paralegal may lose the right to appear before administrative agencies	30
d.	The paralegal may be sued by the client damaged by the unethical action	30
e.	The paralegal may be subject to criminal prosecution	31
f.	The paralegal's reputation may be tarnished	31
C.	Specific Ethical and Professional Concerns for Legal Professionals Engaged in Interviewing and Investigating	31
1.	The unauthorized practice of law	31
a.	Establishing an attorney-client relationship	32
b.	Setting legal fees	32
c.	Giving legal opinions or legal advice	32
d.	Representing a client before a court or tribunal	34
e.	Negotiating a legal matter on behalf of a client	35
f.	Delegable tasks and the attorney's responsibility to avoid an agent's UPL	35
2.	Maintaining client confidences and secrets	36
a.	The attorney-client privilege	36

b.	The broader ethical duty of confidentiality	37
c.	Protecting client information from disclosure	38
3.	Competence	41
a.	Seek good education and training	41
b.	Seek certification	41
c.	Stay informed concerning changes in the law and the profession	41
d.	Stay on the cutting edge of technological advancements	42
e.	Commit yourself to excellence	42
4.	Integrity	42
a.	Truthfulness in dealing with clients, co-workers, and others	43
b.	Fidelity in handling client funds and other property	43
c.	Loyalty	44
5.	Diligence and communication with the client	44
6.	Conflicts of interest	44
a.	Simultaneous representation	45
b.	Representing an interest adverse to a former client	45
(1)	Before accepting representation	46
(2)	After representation has begun	46
(3)	Job changes by a legal professional	46
c.	Personal relationships	47
d.	Recognizing potential conflicts	47
7.	Disclosure of status in verbal and written communications	48
8.	Improper communications	49
9.	Discovery of client misconduct	49
a.	Intent of the client to commit a criminal act	49
b.	Fraudulent claim or malicious harassment	49
c.	Commission of fraud on the court or perjury	49
	Chapter Summary and Conclusion	50
	Review Questions	50
	<i>Key Words and Phrases to Remember</i>	51
	<i>Learn by Doing</i>	51
	Chapter 3: The Adversarial System, ADR, and Pre-Filing Investigation	53
A.	The Adversarial System	53
1.	Civil and criminal law	54
2.	The court systems	54
3.	Rules of procedure	55
4.	Rules of evidence	57
5.	Court rules	57
6.	The cause of action	58
a.	In a civil suit	58
b.	In a criminal prosecution	60
7.	Remedies	60
a.	In a civil suit	60
b.	In a criminal prosecution	62
8.	Defenses	62
a.	In a civil suit	62
b.	In a criminal prosecution	63

9.	The burden and degree of proof	63
a.	In a civil suit	63
b.	In a criminal prosecution	63
10.	Means of proof	64
11.	Statutes of limitation and repose	64
B.	Administrative Procedures	66
C.	Alternative Dispute Resolution (ADR)	67
1.	Negotiation	67
2.	Mediation	68
3.	Arbitration	69
D.	Distinguishing Between Formal Discovery and Informal Investigation	70
1.	Formal discovery	70
2.	Informal investigation	70
3.	The advantages of informal investigation	71
a.	Early investigation produces more information	71
b.	Information located early is more reliable	71
c.	Information sought informally is more easily obtained	71
d.	Information sought informally is less expensive	71
e.	No opposing party is present for informal investigation	71
f.	The first side to locate relevant information gains advantages in litigation	71
g.	Prompt investigation enhances settlement prospects	71
E.	Pre-Filing Procedures	72
1.	The mandate for pre-filing investigation	72
2.	Objectives of pre-filing investigation	73
a.	To determine if there are facts sufficient to state one or more causes of action in a civil case or one or more crimes in a criminal case	73
b.	To determine provable damages	74
c.	To determine if there are facts sufficient to assert a valid defense	75
d.	To satisfy special pleading requirements	76
e.	To identify all potential defendants	76
f.	To determine the assets of identified defendants	78
g.	To determine questions of personal jurisdiction	78
h.	To determine questions of subject matter jurisdiction	82
i.	To determine the proper venue for a case	86
j.	To determine questions regarding governmental immunity	87
k.	To accomplish required service of process	87
	Chapter Summary and Conclusion	93
	Review Questions	94
	<i>Key Words and Phrases to Remember</i>	94
	<i>Learn by Doing</i>	95

Chapter 4: Formal Discovery in Civil Litigation	97
A. Introduction	97
B. The Scope and Purposes of Formal Discovery in a Civil Case	98
1. The relationship between the scope of formal discovery and the rules of evidence	98
2. Privileged materials not discoverable	99
3. Discovery of experts	99
4. Required voluntary disclosures	100
C. Methods of Formal Discovery in a Civil Case	102
1. Depositions (FRCP 27 through 32)	102
a. Why lawyers take depositions	103
b. Lawyers using paralegals in depositions	103
2. Interrogatories (FRCP 33)	111
a. Information to be sought by interrogatories	111
b. Lawyers using paralegals in discovery by interrogatories	115
3. Requests for production of documents and things (FRCP 34)	119
a. Serving document requests and interrogatories together	119
b. Assisting the client to locate and review documents	119
4. Requests for physical or mental examination (FRCP 35)	122
5. Request for admissions (FRCP 36)	123
D. Drafting Guidelines for Discovery Documents	123
1. Identify and organize the topics to be addressed	123
2. Use clear and concise language	123
3. Be thorough	125
4. Don't be wordy	125
5. Use subparts carefully	126
6. Use definitions	126
7. Use instructions with caution	128
8. Avoid abusing discovery	128
9. Before responding to discovery requests review them carefully for objections	128
10. In responding to discovery requests, answer only what is fairly asked	129
11. Comply with all rules of procedure and local rules of court regarding discovery	129
E. The Order of Discovery	129
1. Interrogatories and document requests	129
2. Depositions	129
3. Requests for physical or mental examination	130
4. Requests for admissions	130
F. Discovery of Electronically Stored Information (E-Discovery)	130
1. The explosion in electronically stored information (ESI)	130
2. ESI as potentially relevant evidence	132
3. The litigation hold and dangers of spoliation of evidence	132
4. Undue hardship and technology assisted review (TAR) in e-discovery	136

5. ESI production and waiver of attorney-client or work product privileges	139
6. Other e-discovery amendments to the Federal Rules of Civil Procedure	141
Chapter Summary and Conclusion	142
Review Questions	143
<i>Key Words and Phrases to Remember</i>	143
<i>Learn by Doing</i>	144
Chapter 5: Formal Discovery in Criminal Litigation	147
A. The Scope of Formal Discovery in Criminal Litigation	147
B. Means of Formal Discovery Available to the Defense in Criminal Litigation	148
1. Review of the criminal complaint	149
2. The initial appearance or arraignment	152
3. The preliminary hearing	155
a. Frequently, no preliminary hearing is held	156
b. There typically is little time to prepare for the preliminary hearing	156
c. The prosecution need not present its entire case at the preliminary hearing	156
4. The information and the indictment	156
5. The bill of particulars	161
6. Rule 16 discovery	163
a. Statements of the defendant	164
b. The criminal record of the defendant	167
c. Documents, electronically stored information, and things	167
d. Reports of examinations and tests	168
e. Expert witnesses	168
f. Procedure for conducting Rule 16 discovery	168
7. Identity of witnesses	168
8. Statements of witnesses	168
9. Exculpatory material — the <i>Brady</i> doctrine	169
10. Depositions	170
11. Documents, records, and things from non-parties	171
12. Motions as discovery devices	171
a. The motion to dismiss	171
b. The motion to suppress	172
c. The motion <i>in limine</i>	172
13. The Freedom of Information Act and the Privacy Act	173
C. Means of Formal Discovery Available to the Prosecution in Criminal Litigation	173
1. The initial appearance	173
2. The preliminary hearing	173
3. Grand jury testimony	174
4. Rule 16 discovery	174
a. Documents and objects	175
b. Reports of examinations and tests	175
c. Expert witnesses	175

5. Statements of witnesses	175
6. Prior notice of affirmative defenses	175
a. Alibi witnesses	176
b. Insanity defense	176
c. Public authority defense	176
D. The Resolution of Discovery Disputes in Criminal Litigation	176
E. Lawyers Using Paralegals in Formal Criminal Discovery	177
1. Attendance at pretrial proceedings	177
2. Review and analysis of court filings	177
3. Drafting discovery documents and related motions	177
4. Familiarity with discovery procedures	178
5. Familiarity with forms	178
6. Reviewing documents, reports, and summaries	179
7. Assisting the client in responding to discovery requests	179
Chapter Summary and Conclusion	179
Review Questions	180
<i>Key Words and Phrases to Remember</i>	181
<i>Learn by Doing</i>	182
Chapter 6: Rules of Evidence for the Investigator — Part 1	183
A. Introduction to the Rules of Evidence	184
1. What the rules of evidence do	184
2. The burden of proof	184
a. In a civil case	184
b. In a criminal prosecution	185
3. The standard or degree of proof	185
a. In a civil case	185
b. In a criminal prosecution	185
4. Means of proof	186
5. First-hand and second-hand knowledge	186
6. Direct and circumstantial evidence	187
7. Laying the foundation	188
8. Rulings on admissibility and offers of proof	189
B. The Role of the Rules of Evidence in Interviewing and Investigating	190
1. Planning and carrying out effective informal investigations	190
2. Putting discovered information in admissible form	191
3. Drafting formal discovery requests and responses	192
4. Drafting affidavits or declarations for use in pretrial motions	193
5. Planning the evidence to be offered at trial	196
6. Assisting the lawyer at trial	196
C. The Doctrine of Privileges	196
1. Work product and trial preparation materials	197
2. The physician-patient privilege	198
3. The psychotherapist-patient privilege	198
4. The spousal confidential communications privilege	198
5. The spousal testimony privilege	199

6. The privilege against self-incrimination	200
7. Miscellaneous privileges	200
8. Procedural matters relating to privileges	200
Chapter Summary and Conclusion	201
Review Questions	201
<i>Key Words and Phrases to Remember</i>	202
<i>Learn by Doing</i>	202
Chapter 7: Rules of Evidence for the Investigator — Part 2	205
A. Relevance	206
B. Rule 403 and Generally Prohibited Matters	207
1. Subsequent remedial measures	207
2. Settlement discussions and offers	208
3. Paying or offering to pay expenses	209
4. Plea bargain discussions or a guilty plea later withdrawn	209
5. Liability insurance	209
C. Lay Witnesses	210
D. Expert Witnesses	210
E. Examination of Witnesses	211
F. The Rule Against Hearsay	212
1. Hearsay defined	212
a. Is it a statement?	212
b. Is it a statement made out of court?	212
c. Is it a statement offered to prove the truth of the matter asserted?	214
d. Is there a recognized exemption or exception for the statement?	217
2. Admission by party opponent exemption	217
3. Prior inconsistent statement made under oath exemption	218
4. Prior consistent statement offered to rebut charge of recent fabrication exemption	219
5. Prior statement identifying a person perceived earlier exemption	219
6. FRE 803 exceptions to the hearsay rule — availability of declarant immaterial	220
a. Present sense impression (FRE 803(1))	220
b. Excited utterance (FRE 803(2))	220
c. Current state of mind or condition (FRE 803(3))	221
d. Statements made for purposes of medical diagnosis or treatment (FRE 803(4))	222
e. Recorded recollection (FRE 803(5))	222
f. Business records (FRE 803(6) and (7))	222
g. Public records (FRE 803(8) and (10))	224
h. Other FRE 803 exceptions	224
7. FRE 804 exceptions to the hearsay rule — applicable where the declarant is unavailable to testify	224
a. Former sworn testimony (FRE 804(b)(1))	225
b. Statement under belief of imminent death (FRE 804 (b)(2))	225

c.	Statement against interest (FRE 804(b)(3))	226
d.	Statement offered against or by one who caused or procured declarant's unavailability (FRE 804(a) and (b)(6))	226
8.	The residual exception (FRE 807)	227
9.	Hearsay and the Confrontation Clause	227
G.	Character Evidence	229
1.	The criminal accused	229
2.	Where character is an essential element of a claim or defense	231
3.	Other crimes, wrongs, or acts	231
4.	A witness's character for truthfulness	232
5.	Character for truthfulness of a witness as evidenced by conviction of a felony or other crime involving dishonesty	233
6.	Attacking a witness's credibility using religious beliefs or opinions	233
H.	Impeaching a Witness by Showing Bias or Interest	234
I.	Authentication of Documents and Things	236
1.	Authenticating physical objects	236
2.	Authenticating demonstrative evidence	236
3.	Authenticating documents and electronic records	237
4.	Authenticating voices	238
J.	Best Evidence Rule	239
K.	Final Considerations Regarding Evidence	239
1.	Admissibility for alternative reasons	239
2.	Clearing all the hurdles	240
	Chapter Summary and Conclusion	241
	Review Questions	241
	<i>Key Words and Phrases to Remember</i>	242
	<i>Learn by Doing</i>	243
	Chapter 8: Communication Skills for the Investigator	247
A.	The Importance of Communication in the Work of Paralegals	248
1.	How we all communicate	248
a.	Verbal communication	248
b.	Written communication	248
c.	Nonverbal communication	248
2.	The importance of written and verbal communication	248
3.	The importance of nonverbal communication	249
B.	Verbal Communication — It's More Than the Words	249
1.	Tone of voice	250
2.	Volume	250
3.	Rate of speaking	250
4.	Voice inflection	250
5.	Enunciation	251
6.	Vocabulary	251
7.	Grammar	251
8.	Slang, colloquialisms, idioms, and accents	252
a.	Slang	252

b. Colloquialisms	253
c. Idioms	253
d. Accents	254
C. Nonverbal Communication — Body Language	254
1. Body position	255
2. Facial expressions	256
3. Eye contact	257
4. Nervous signals	257
5. The sounds of silence	258
6. Clothes and environment	258
D. Written (Including Electronic) Communication	259
1. Be aware of grammar	260
2. Use tools for effective writing	260
3. Avoid slang and colloquialisms	260
4. Be precise	260
5. Be thorough but concise	261
6. Avoid repetition	261
7. Be consistent	261
8. Use shorter, simpler, non-technical words	261
9. Use paragraphs	262
10. Use drafts and proof your work	262
11. Protect confidentiality and privilege	262
12. Practice makes perfect — and reading helps, too	263
13. Special considerations for electronic communications (netiquette)	263
E. Putting Communication Skills to Work in Interviewing and Investigating	266
1. What are you communicating to others?	266
2. What are others communicating to you?	267
3. The dangers of implicit bias	268
4. Suggestions for phone communications	268
a. Your voice is critical	268
b. Identify yourself properly	268
c. Return calls promptly	268
d. Sound interested — even if you're not	268
e. Take notes while you talk	269
f. Phone ego — "Please hold for Mr. Big"	269
g. Phone conversations with information sources	269
5. The investigator as a LOVER!	269
a. A Listener	270
b. An Observer	270
c. An Evaluator	270
d. A Reporter	270
Chapter Summary and Conclusion	270
Review Questions	271
<i>Key Words and Phrases to Remember</i>	271
<i>Learn by Doing</i>	272

Part 2: Formulating and Executing a Plan of Investigation	273
Chapter 9: Formulating a Plan of Investigation	275
A. Introduction	276
B. Traits of the Effective Investigator	276
1. The effective investigator is <i>knowledgeable</i>	276
2. The effective investigator is <i>skilled</i>	276
3. The effective investigator is <i>persistent</i>	277
4. The effective investigator is <i>creative</i>	278
5. The effective investigator is <i>perceptive</i>	280
6. The effective investigator is <i>skeptical</i>	281
a. Evaluate the source of information	281
b. Test information for internal consistency	282
c. Look for gaps in information	282
d. Compare new information to information already gathered	282
e. Seek corroborating information	282
f. Seek explanations and details	282
g. Seek leads to more information	282
7. The effective investigator is <i>flexible</i>	282
C. The Importance of Having a Plan of Investigation	283
D. Formulating a Plan of Investigation	284
1. Start with what you already know	284
2. Identify the specific goals of your investigation	285
a. Consider the law of the case	285
b. Write down the ultimate goals of the investigation	286
3. Brainstorm for specifics	286
4. Identify all possible sources of information	288
5. Organize your plan into a logical format and chart it	289
a. The chronological to-do list format	290
b. The topical format	290
c. The sources format	291
d. The cause of action format	291
E. Limitations on a Plan of Investigation	293
1. The amount of work actually required	293
2. The cost of the work to be done	293
3. The value of the case	294
4. The resources of the client	294
5. The resources of the law office	294
6. Client authorization	294
F. Flexibility of a Plan of Investigation	295
G. The Handling of Documents and Physical Evidence During an Investigation	295
1. Distinguishing between documentary and physical evidence	295
2. Creating demonstrative evidence	295
3. The role of the rules of evidence in handling documents and things	296
4. Procedures for handling documents and things in your custody	298

a. Label the evidence	298
b. Secure the evidence	299
c. Keep an evidence log	299
5. Procedures for documents and things not in your custody	299
H. The Importance of Diligence and Thoroughness in Executing a Plan of Investigation	300
1. Diligence	300
2. Thoroughness	300
Chapter Summary and Conclusion	301
Review Questions	302
<i>Key Words and Phrases to Remember</i>	302
<i>Learn by Doing</i>	303
Chapter 10: Preparing for a Client Interview	305
A. Introduction to Interviewing	305
1. Persons to interview	305
a. Clients	306
b. Fact witnesses	306
c. Other information sources	306
2. Different methods and locations for interviews	306
B. Reasons for Conducting Client Interviews	307
1. The initial client interview	307
2. Subsequent information-gathering interviews	307
3. The update or status report interview	307
C. Goals of the Initial Client Interview	307
D. Scheduling the Initial Client Interview	308
1. Check all participants' schedules before you call	308
2. Have several dates and times in mind before you call	308
3. Allow for plenty of time	308
4. Make sure the interview room is available	309
5. Consider what the client needs to bring	309
6. Identify yourself when you call	309
7. Cover all necessary details in the scheduling call	309
8. Take comprehensive notes during the scheduling call	309
9. Things to do following the scheduling call	309
E. Preparing for the Initial Client Interview	311
1. Prepare forms	311
a. Records authorizations	312
b. Fee agreements	315
2. Prepare your questions	319
a. Review your notes	319
b. Consider what you know so far of the legal question involved	319
c. Brainstorm a list of topics to be covered	320
d. Organize the topics in a logical fashion	320
e. Prepare specific questions within each topic	322
f. Consider the phrasing of questions	327
g. Put questions in a format consistent with any checklist or intake sheet being used	328

h.	Put questions in a format conducive to taking good notes during the interview	328
i.	Be flexible — always expect to ask other questions in the interview	328
j.	Have the supervising attorney review questions and forms	329
3.	Using a checklist or intake sheet	330
4.	Prepare the physical environment where the interview is to take place	331
5.	Give thought to any special needs of the client	331
6.	Plan the seating arrangement	331
a.	In an office with a desk	332
b.	At a rectangular conference table	332
c.	At a rounded conference table	335
d.	Other considerations in seating	335
7.	Preserve confidentiality and avoid interruptions during the interview	338
8.	Be physically and mentally prepared for the interview	338
a.	Get enough rest the night before the interview	338
b.	Leave your personal life outside the interview room	338
	Chapter Summary and Conclusion	339
	Review Questions	340
	<i>Key Words and Phrases to Remember</i>	340
	<i>Learn by Doing</i>	341
	Chapter 11: Conducting a Client Interview	343
A.	Introduction	343
B.	Ten Things to Remember Throughout the Client Interview	344
1.	Be friendly but professional	344
2.	Avoid legal or technical jargon except as necessary	344
3.	Be cognizant of the dangers of the unauthorized practice of law	344
4.	Take good notes	345
5.	Engage in active listening	345
6.	Evaluate the demeanor and behavior of the client	345
7.	The client will not know what to tell you — you have to ask	345
8.	Remember the commandments	345
a.	Assume nothing	346
b.	Verify everything	346
9.	Keep an emotional distance between yourself and the client	346
10.	Overcome <i>internal</i> obstacles to effective interviewing	346
a.	Concentrating too intently on your next question	346
b.	Concentrating too hard on taking good notes	346
c.	Being a captive to the prepared list of questions	347
d.	Letting your own biases affect you	347
C.	The Order and Manner of Conducting a Client Interview	347
1.	Greeting the client	347
2.	Beginning the interview	349
a.	If appropriate, express empathy toward the client	349

b.	Explain the absence of the supervising attorney	349
c.	Explain your role as a paralegal	350
d.	Explain the attorney-client privilege	350
e.	Briefly review the goals to be accomplished in the interview	350
f.	Explain that you will be taking notes during the interview	350
g.	Ask if the client has any questions	350
h.	Obtain biographical information for the file	350
3.	Conducting the substantive portion of the interview	351
a.	Briefly review any documents the client brought	351
b.	Obtain a broad overview of the client's story	352
c.	Fill in gaps in the information given	352
d.	Ask for definitions of unfamiliar words and phrases	352
e.	Ask for details	352
f.	Ask for leads to witnesses and documents	353
g.	Ask about social media	353
h.	If helpful, have the client draw a sketch or diagram	354
i.	Establish an accurate chronology of events	355
j.	Clarify errors, inconsistencies, or vagueness in the client's story	356
k.	Verify all information given as best you can	357
l.	Seek corroborating information	358
m.	Get the particulars on persons and documents or records mentioned	359
n.	Review documents closely and copy or arrange to keep them	359
o.	Determine what the client wants	359
p.	Check off the topics on your question list as you go	359
4.	Dealing with special problem clients	360
a.	The reluctant client	360
b.	The highly emotional client	360
c.	The self-important or condescending client	361
d.	The obviously lying client	361
5.	Concluding the client interview	362
6.	The role of the assisting paralegal when the supervising attorney conducts the interview	363
7.	Following the interview	363
a.	If needed, do another conflict of interest check	363
b.	Prepare an interview summary	363
c.	Prepare a follow-up letter to the client	364
D.	Subsequent Client Interviews and Contacts	364
	Chapter Summary and Conclusion	369
	Review Questions	369
	<i>Key Words and Phrases to Remember</i>	370
	<i>Learn by Doing</i>	370

Chapter 12: Preparing for a Witness Interview	371
A. Introduction	371
B. Goals of the Witness Interview	371
C. Kinds of Witnesses	372
1. The friendly witness	372
2. The hostile witness	372
a. Be friendly and patient with the witness	373
b. Try to get the witness to like you	373
c. Use the witness's natural instinct to help	373
d. Use subpoena power as a motivator — if you must	373
3. The neutral or disinterested witness	374
4. The skeptical witness	375
5. The nosy witness	376
6. The busy witness	376
7. The too-helpful witness	376
8. The show-off witness	377
9. The big-ego witness	377
10. The condescending witness	377
11. Special problem witnesses	378
a. Language barriers	378
b. Physical barriers	378
c. Mental barriers	378
d. The Romeo (or Juliet!)	379
e. The witness for sale	379
D. Scheduling and Preparing for the Witness Interview	380
1. Scheduling the witness interview	381
2. Preparing for the witness interview	381
3. Special considerations in scheduling and preparing for a witness interview	382
a. Contacting a witness represented by counsel	382
b. Preserving client confidences and secrets	382
c. Don't use tricks	382
d. The location of the witness interview — the field interview	383
e. Telephone interviews and sound or video recording interviews	385
f. Planning multiple witness interviews	385
Chapter Summary and Conclusion	386
Review Questions	386
<i>Key Words and Phrases to Remember</i>	386
<i>Learn by Doing</i>	387
Chapter 13: Conducting a Witness Interview	389
A. Introduction	389
B. Things to Remember Throughout the Witness Interview	390
1. Observe and evaluate the witness's environment	390
2. Overcome <i>external</i> obstacles to active listening and observing	392
3. Avoid disclosing confidential or privileged information	392

C. The Order and Manner of Conducting a Witness Interview	393
1. Beginning the interview	393
a. Greet the witness	393
b. Express appreciation for the witness's cooperation	394
c. Disclose your status as a paralegal	394
d. Briefly state the purpose of your interview	394
e. Obtain background information on the witness	394
2. Conducting the substantive portion of the witness interview	394
a. Briefly review any documents the witness has made available	395
b. Obtain a narrative summary of what the witness knows	395
c. Fill in gaps in the story	395
d. Ask the witness to define unfamiliar terms or concepts	395
e. Ask for details	395
f. Seek leads to other witnesses and documents	396
g. Ask for social media leads	396
h. If helpful, have the witness draw a sketch or diagram	396
i. Establish the chronology of events known to the witness	396
j. Clarify errors, inconsistencies, or vague points	396
k. Attempt to verify information provided by the witness	396
l. Ask about corroborating sources	396
m. Ask about smart phone recordings or surveillance cameras	396
n. Get the particulars on all persons, documents, or records mentioned	397
o. Make copies of documents produced or arrange to keep them	397
p. Ask the witness to tell you anything else they remember	397
q. Ask about other interviews or statements given	397
r. Make sure you have covered everything	397
3. Impeaching a witness	398
a. Inconsistencies or contradictions in the statement	398
b. Unreliability of the witness's information	398
c. Bias of the witness	399
d. Interest of the witness in the outcome of the case	399
e. History of the witness affecting credibility	400
4. Concluding the witness interview	401
5. The interview summary	401
D. Audio or Video Recording the Interview	401
1. Obtain the prior consent of the supervising attorney	403
2. Consider using a court reporter	404
3. Obtain the witness's consent <i>before</i> electronically recording	404
4. Repeat and record the statement of consent	404
5. Identify yourself and your position in the recording	405
6. State the date and time the interview begins	405

7. Identify all persons present	405
8. Handling interruptions in the interview	405
9. Avoid "talking over"	406
10. How to conclude the electronically recorded interview	406
11. Transcribe the recording or prepare a summary	407
12. If appropriate, provide the witness a transcript or digital copy of the interview	407
13. Preserve the recorded interview	408
E. The Voice-Only Interview	408
1. Speak and listen carefully	408
2. Ensure privacy and preserve confidentiality	408
3. Using documents or things in a voice-only interview	409
4. Recording the voice-only interview	409
F. The Written Witness Statement	410
1. The format of a witness statement	410
2. How attorneys use witness statements	411
3. Preparing the written witness statement	411
a. It should identify the witness by name and state the date of the interview	411
b. It should be written in the witness's own words	411
c. It should state the total number of pages it contains	412
d. The pages of the statement should be numbered	412
e. Every page should be signed or initialed by the witness	412
f. It should be read and corrected by the witness before it is signed	412
g. It should be signed by the witness	412
Chapter Summary and Conclusion	415
Review Questions	416
<i>Key Words and Phrases to Remember</i>	416
<i>Learn by Doing</i>	417
Chapter 14: Identifying and Locating Fact Witnesses	419
A. Introduction	419
B. Identifying Fact Witnesses	419
1. People sources	420
a. The client	420
b. Other witnesses	420
c. The investigating officer(s)	420
d. Ambulance, rescue squad, and emergency room personnel	421
e. Security cameras in private or public areas and facial recognition technology	421
f. Canvassing the scene or neighborhood	422
g. The neighborhood regulars	422
h. The reporting media	422
i. Solicitations in traditional and social media	423
2. Document and records sources	425
a. Medical records	425

b.	Employment records	426
c.	Educational records	426
d.	Personal correspondence and journaling	427
e.	Online correspondence and social networking data	427
f.	Business records	428
g.	Personal credit, utility, and financial records	429
h.	Public records—local, state, and federal	429
C.	Locating Missing Witnesses	430
1.	Let's play <i>This Is Your Life</i>	430
2.	Sources of information for locating the missing witness	432
a.	People sources	432
b.	Organizational sources	432
c.	Documentary sources	433
d.	Social networking and people search websites	436
e.	People search database vendors	436
f.	Determining if someone has died	437
g.	Locating former employees	437
h.	Locating current or former members of the military	437
i.	Locating current or former prison inmates	437
j.	Tracing companies	437
k.	Genealogical and genetic testing services	438
	Chapter Summary and Conclusion	438
	Review Questions	439
	<i>Key Words and Phrases to Remember</i>	439
	<i>Learn by Doing</i>	439
	Chapter 15: Working with Expert Witnesses	441
A.	Who Experts Are and Why Attorneys Use Them	441
1.	The definition of an expert and the admissibility of expert testimony	441
2.	Distinguishing consulting experts from testifying experts	443
3.	How attorneys use experts	444
B.	Locating Qualified Expert Witnesses	446
1.	Attorneys or paralegals in the office	446
2.	Other attorneys or paralegals in the community	446
3.	Attorneys or paralegals in other parts of the country	446
4.	Lawyer organizations	446
5.	Referral companies	447
6.	Directories	447
7.	Professional, technical, and trade organizations	447
8.	Private businesses	447
9.	Colleges and universities	447
10.	Government agencies	448
11.	Literature in the field of expertise	448
12.	Other experts	448
13.	The expert's online presence	448
C.	Evaluating the Expert	449
1.	Why we evaluate experts	449
2.	The expert's resume	449
3.	How to evaluate an expert	449
a.	Look for education, training, and work experience	449

b.	Look at the specific area of expertise	449
c.	Verify information on the resume	449
d.	Check the expert's online presence	451
e.	Review the expert's publications	452
f.	Review publications on which the expert bases an opinion	452
g.	Locate and review prior testimony by the expert	452
h.	Ask for references	453
i.	Interview the expert	453
D.	Working Successfully with Expert Witnesses	454
1.	Obtain the expert's fee schedule early	454
2.	Be sure the expert does not have a conflict of interest	455
3.	Become familiar with technical terms and concepts in the expert's field	455
4.	Do not identify the expert in discovery until the decision has been made to use the expert for testimony	456
5.	Do not supply the expert with privileged materials	456
6.	Always communicate a neutral picture of the case to the expert	457
7.	Provide materials requested by the expert promptly	458
8.	Keep a record of all materials sent to or received from the expert	458
9.	Do not allow the expert to put preliminary opinions in writing	459
10.	Be familiar with all rules of evidence and procedure that apply to the expert	459
	Chapter Summary and Conclusion	459
	Review Questions	460
	<i>Key Words and Phrases to Remember</i>	460
	<i>Learn by Doing</i>	461
	Chapter 16: Public Sources of Information — Federal	463
A.	Introduction	463
B.	Public Records in General	464
C.	The Importance of Knowing How Government Works	464
D.	Structure of the Federal Government	465
E.	Determining What a Federal Agency or Department Does and the Records It Maintains	465
1.	Experienced people in the office	465
2.	Government publications	467
3.	Data.gov and agency websites	467
4.	State and local bar directories and handbooks	469
5.	The phone book	469
6.	Publications	469
7.	Enabling statutes and regulations	469
F.	How to Access Information from the Federal Government	471
1.	The judicial branch — court records	471
a.	Kinds of information available in federal court records	471
b.	How to conduct searches in federal court records	471
c.	Computerized resources for searching federal court records	472

2. The legislative branch—Congress	473
a. Congress online	474
b. Accessing Congress through database vendors	474
3. The executive branch	475
a. Executive orders	475
b. Obtaining information from the White House	475
c. Obtaining information from executive agencies	475
Chapter Summary and Conclusion	484
Review Questions	484
<i>Key Words and Phrases to Remember</i>	485
<i>Learn by Doing</i>	485
Chapter 17: Public Sources of Information—State and Local	487
A. The Structure of State and Local Governments	487
B. Records Maintained by State Governments	488
1. Vital statistics	489
2. Motor vehicle and driving records	490
3. Corporate and other business records as public records	490
4. Licensing and registration records	491
5. Regulatory commission records	491
6. Tax and revenue records	492
7. Securities filings	492
8. Social service agencies records	492
9. Workers' compensation records	492
10. Law enforcement records	493
C. Records Maintained by Local Governments	494
1. Records of civil and criminal cases in court clerk's offices	495
2. Law enforcement records	495
3. Permits and licenses	497
4. Real property transfer records in register/recorder of deeds office	497
5. Tax records in assessors' offices	497
6. Probate court records	497
7. Vital statistics	497
8. Voting records in election commission offices	498
9. Public utilities records	498
10. Public school records	498
11. The public library	498
D. State Public Records Acts and Other Statutes and Rules	
Controlling Accessibility	500
1. What is an accessible "public record" under a state PRA?	501
2. Who can access a public record using a state PRA?	503
3. Procedure for accessing public records under a state PRA	503
E. Other Sources for Accessing State and Local Government	
Records	507
1. State and local government sponsored "open data" sites	507
2. Non-governmental websites	508
3. Online database vendors	508
4. Public records search companies	509
Chapter Summary and Conclusion	510

Review Questions	510
<i>Key Words and Phrases to Remember</i>	510
<i>Learn by Doing</i>	511
Chapter 18: Private Sources of Information	513
A. An Overview of Private Sources of Information	513
B. Accessing Private Sources of Information	516
1. Medical records	516
a. Obtaining medical records by written patient authorization	516
b. Drafting the medical records authorization	517
c. Using the medical records authorization	517
d. Special medical records authorizations	519
e. Obtaining medical records by court order	519
f. Obtaining medical records by Rule 45 subpoena	520
2. Employment records	521
3. Educational records	522
4. Other sources of academic information	523
5. Address and phone records	523
a. Finding address and phone numbers	523
b. Accessing unlisted phone numbers	524
c. Phone call records and wiretapping	524
6. Credit records on individuals	524
7. Credit information on businesses	526
8. Bank account, credit card, and general financial information on individuals	527
9. Financial and general business data on corporations and other businesses	528
10. Online database vendors	529
11. Background check companies	531
12. Private investigative firms	532
a. Locating a reliable private investigator	533
b. Working effectively with a private investigator	533
C. Online Searches and Personal Surveillance	534
1. Online searches	534
2. Personal surveillance	535
Chapter Summary and Conclusion	536
Review Questions	536
<i>Key Words and Phrases to Remember</i>	537
<i>Learn by Doing</i>	537
Appendix: Case Studies	539
Case Study No. 1: The Rowdy Outlaw Case	541
Case Study No. 2: The Red Dog Saloon Case	544
Case Study No. 3: The Vidalia Unyon Case	546
Case Study No. 4: The Rocky Road Project	549
<i>Glossary</i>	551
<i>Table of Cases</i>	575
<i>Index</i>	577

