

Welcome to



# Emotionally Intelligent Auditors and Leaders; a Guide for Achieving Power with People

Government Audit Training Institute AUDT8911G



# Modules

1. What is Emotional Intelligence and the Ability to Have Power with People?
2. Why is it Important to Auditors and Leaders?
3. Gaining Self Awareness and Awareness of Others – Difficult Personalities
4. Achieving Self Control Even In Challenging Situations
5. Getting Motivated and Motivating Others
6. Expressing Empathy – Gaining Another Perspective
7. Building Social Competencies of Trust and Confidence

# Module 1:

## What Is Emotional Intelligence (EQ)?

*The capacity for recognizing our own feelings and those of others, for motivating ourselves, and for managing emotions well in ourselves and in our relationships.*

*Daniel Goleman*

*“Working with Emotional Intelligence”*

# □ What is Emotional Intelligence?

Self Awareness

Self Control

Self Motivation

Empathy

Social Competencies

## □ *The questions for today:*

▣ *How do you perceive yourself?*

▣ *How are you perceived by others?*

▣ *How do you want to be perceived?*

▣ *How do you need to be perceived to be most effective?*

# Historical Perspective: Why is EQ more important than IQ?

- Earliest Roots to Darwin's work on emotional expression for survival and adaptation – published in 1872
- 1983 Howard Gardner's *Frames of Mind: The Theory of Multiple Intelligences* (understanding fears, feelings, motivations, intentions and desires in self and others)
  - ▣ IQ does not fully explain cognitive ability
- 1995 Daniel Goleman's *Emotional Intelligence: Why It Can Matter More than IQ*
  - ▣ A different way of being smart!
  - ▣ Important in navigating yourself, relationships, change, conflict
  - ▣ Important for auditors to build trust and overcome resistance

## Module 2:

# Why is Emotional Intelligence Important to Auditors and Leaders?

## Credibility & Trustworthy Needed to Influence Change

- To be deemed trustworthy, is an important characteristic of a person who possesses and exhibits Emotional Intelligence.
- Credibility is an incredibly hard leadership trait to possess. It cannot be taught. It must be learned and earned. We can't change others unless we can change ourselves!
- All we have is the power of ***persuasion to influence change***. We need to use all the tools available to be effective and manage the behaviors, ours and theirs, that can prevent or facilitate constructive outcomes.
- ***How do you build trust and confidence to influence change?***



# Stereotypes of Auditors – being perceived as the difficult personalities

No feelings

Rigid

Police

Status Quo

Looking for trouble

Absolutes

Lonely

No fun

Superiority

Consistent

- Mostly negative

# Auditors and Leaders Are Agents of Change

- Change is threatening
- Criticism, oversight, accountability, perceived blame is threatening

By nature – this provokes behaviors of:

- ▣ Defensiveness
- ▣ Strong emotional reactions
- ▣ Offensiveness

**Gaining Emotional Intelligence** – helps us to overcome these barriers that we inadvertently, or overtly create – and gain willing followers.

# Problem Approach - lacks EQ

- Spotlights What's Wrong or Not Working
- Looks for Someone to Blame
- Causes Defensiveness
- Stifles Creativity
- Causes More Problems as Attention is Drawn to the Problems that Already Exist
- **Drains off Valuable Energy**
- Keeps Us Stuck in Boxes
- Uses Negative Words and Phrases – Creates Threat
- Dwells in the Past!



# Solutions Approach – with EQ

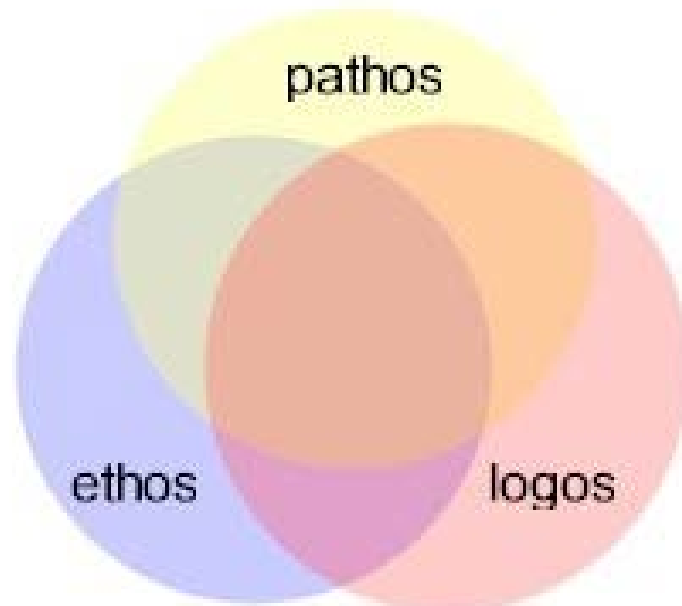
- ❑ Puts the Spotlight on What's Already Working
- ❑ Highlights Common Ground and Goals
- ❑ Develops Openness, Trust and Involvement
- ❑ Naturally Moves Toward the Goal/Future
- ❑ **Creates Energy and Enthusiasm**
- ❑ Creates Open Communications and
- ❑ Continuous Renewal (*turns resistance to action*)
- ❑ Develops Atmosphere Best Suited for Generating Creative Solutions
- ❑ Use Positive Words/Phrases – Creates Motivation
- ❑ Demonstrates Challenges as Compelling Opportunities!!



***This is what gives you Power with People!***

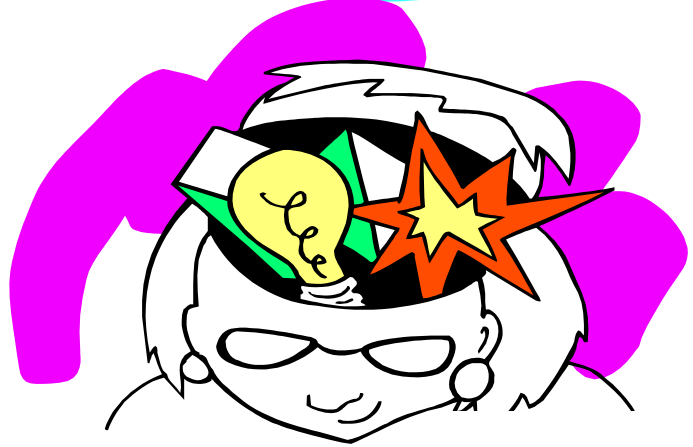
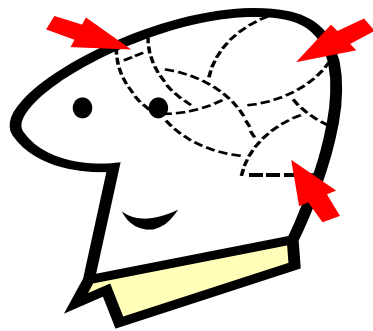
# Let's Get Greek! – Sell your ideas, get buy-in and engagement by appealing to their values and beliefs

- **Ethos** – it is the right thing ethically and morally
- **Pathos** – it feels like the right thing
- **Logos** – it is the logical thing to do



# Getting Started – Meet Your Brain!

Left=Facts & Logic VS Right= Intuition, Beliefs, Feelings, Behavior



## Left brain

### Right side of body control

- Number skills
- Math/Scientific skills
- Written language
- Spoken language
- Objectivity
- Analytical
- Logic
- Reasoning

## Right brain

### Left side of body control

- 3D shapes
- Music/Art awareness
- Intuition
- Creativity
- Imagination
- Subjectivity
- Synthesizing
- Emotion
- Face recognition



PARIETAL

Intelligence, language, reading, sensation

FRONTAL

Behaviour, intelligence, memory, movement

OCCIPITAL

Lobe, vision

TEMPORAL

Behaviour, hearing, speech, vision, memory

CEREBELLUM

Balance, coordination

BRAIN STEM

Blood pressure, breathing, heartbeat, swallowing

# The Limbic System:

- The not-conscious part of the brain where all of your *beliefs and habits* are stored
- Controls your feelings and heavily influences your behavior (*beliefs and feelings are learned*)
- Interprets sensory information and dispatches it to the cortex

# Cortex

The conscious center of the brain that hears what you are thinking and can intellectually **control behavior** for processing.

The limbic sets the emotional tone of the information **before it reaches the cortex for action.**

# Key Factors of Emotional Intelligence (EQ)

- ***Self-Awareness***
- ***Self-Control***
- ***Attitude and Motivation***
- ***Empathy***
- ***Social Competency Awareness:***

*So lets examine each one*

# Module 3: Gaining Self Awareness

A person's capacity for being aware of how they are feeling  
– And how they are perceived by others!!

## What is Your Type?

□ **Extrovert:** Social (gets energy from others)

OR

□ **Introvers:** Solitary (takes energy being with others)

□ **Thinking:** Acts based on Logic and Reason

OR

□ **Feeling:** Acts based on Emotions and Feelings

## You are an Extrovert if you generally:

- ❑ Are focused on people and their environment
- ❑ Like being part of a team
- ❑ Process information by talking it through
- ❑ Lose interest if forced to stay on one subject very long
- ❑ Prefer to communicate informally by talking
- ❑ Tend not to be a good listener
- ❑ Want action – to experience things
- ❑ Occasionally talk too much or put your foot in your mouth

## You are an Introvert if you generally:

- ❑ Focus more on your inner world
- ❑ Tend to be perceived as more quiet
- ❑ Prefer work that is “head” focused
- ❑ Want to think before you act
- ❑ Are a better listener, but may not get credit for it because you don’t give a verbal or body response
- ❑ Will shut down if pressured to give information/answers before ready
- ❑ Provide well thought-out responses
- ❑ Like to write down things you want to remember
- ❑ Talk a lot if interested in the subject

## You are a Thinker if you generally

- ❑ Like to deal with facts and figures
- ❑ Want supporting facts
- ❑ Make decisions by analysis
- ❑ Are good at analyzing what is wrong with something
- ❑ Tend to see things in absolutes
- ❑ May want things in writing
- ❑ Define “rapport” as great minds think alike
- ❑ Treat people fairly, but people may be an after-thought for you
- ❑ Like to be direct and to the point-brief and businesslike

## You are a Feeler if you generally

- ❑ Like to have relationships- build rapport with others
- ❑ Take things personally
- ❑ Want your feelings to be recognized by others
- ❑ Can carry a grudge if your feelings are hurt
- ❑ Are sympathetic
- ❑ Will tell people how you feel about a subject before you get into other aspects
- ❑ Make decisions based upon what is important to you and others – not necessarily logic

# What is Your Preference Type by Self Assessment?

**Extrovert or Introvert: Total Must be 10**

Extrovert (E) \_\_\_\_\_ (0 to 10); **OR**

Introvert (I) \_\_\_\_\_ (0 to 10)

Total     10    

**Thinker or Feeler: Total Must be 10**

Thinker (T) \_\_\_\_\_ (0 to 10); **OR**

Feeler (F) \_\_\_\_\_ (0 to 10)

Total     10    

**Who's Preference is:**

ET?

EF?

IT?

IF?

# Transfer Your Preference Score to the Chart

## Example

**Extrovert or Introvert: Total Must be 10**

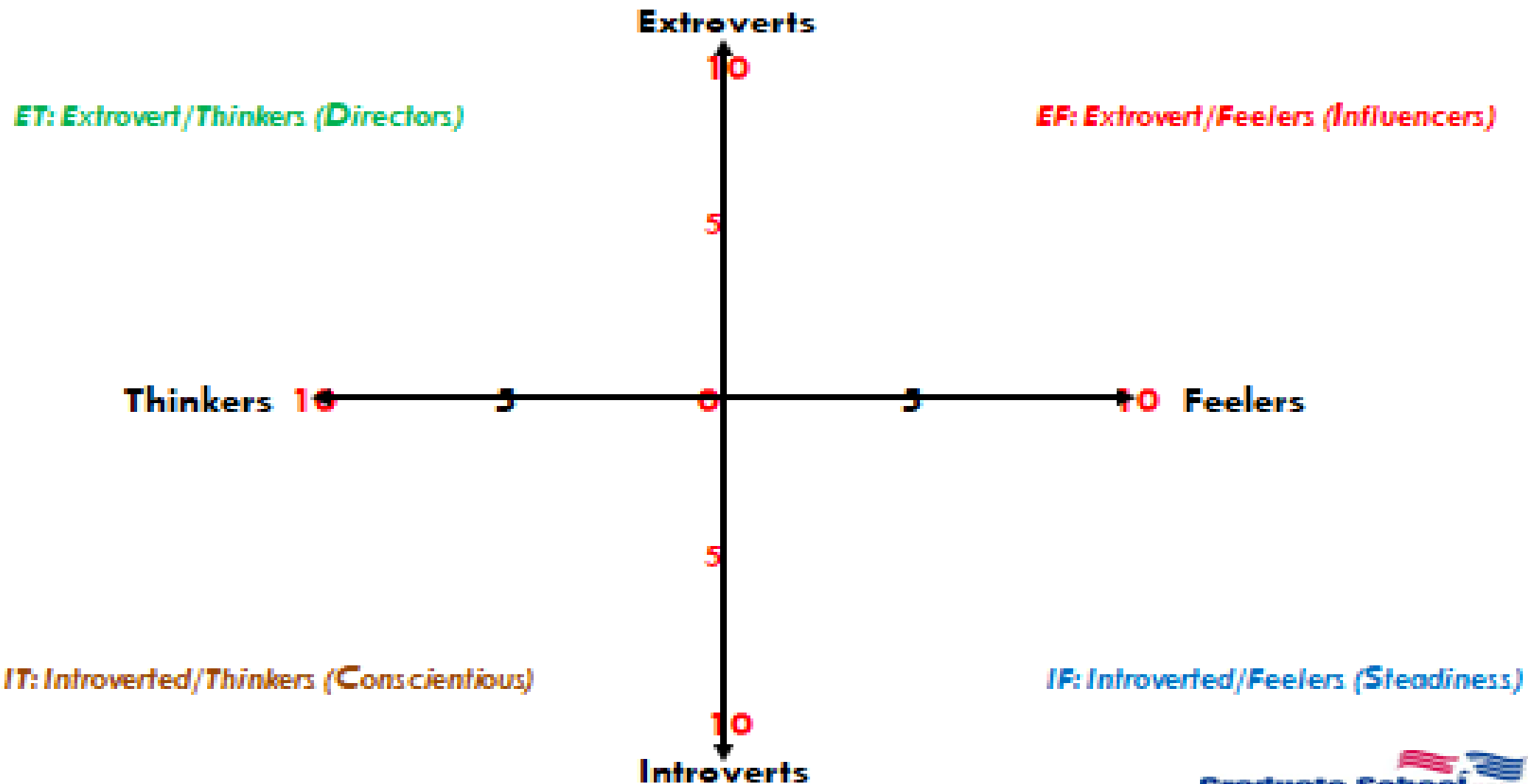
- **Extrovert (E)** 3 (0 to 10);  
**OR**
- **Introvert (I)** 7 (0 to 10)

**Thinker or Feeler: Total Must be 10**

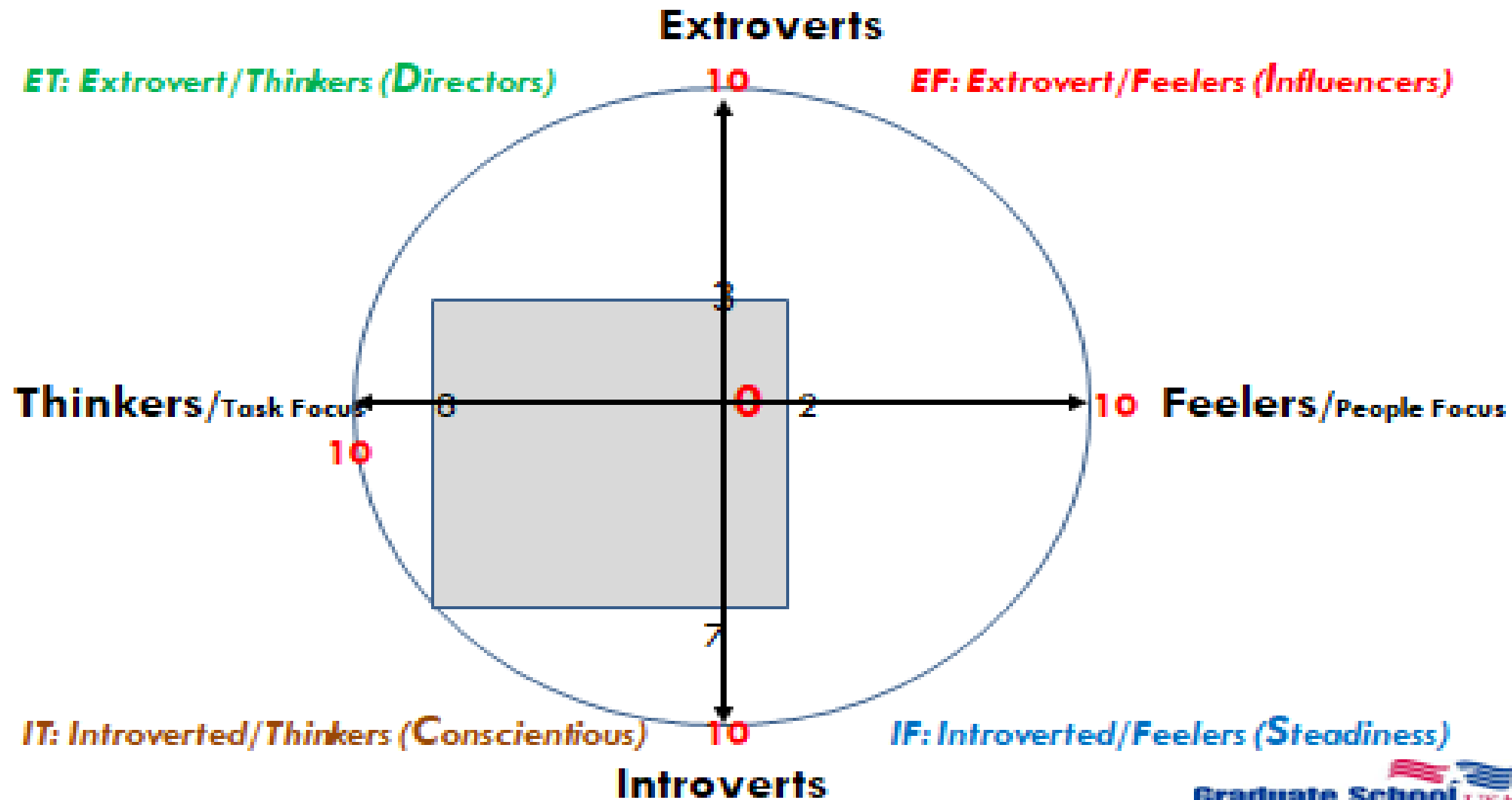
- **Thinker (T)** 8 (0 to 10);  
**OR**
- **Feeler (F)** 2 (0 to 10)

**Now plot these Points on the Chart – next slide**

# Identify Your Personal Communication Style and Understand Others — *Plot your DiSC style preferences*



# Identify Your Personal Communication Style and Understand Others – Plot your DiSC style preferences



# DiSC Assessment – Validate your Initial Profile

## *In the Appendix*

24

1. Circle the Word/Phrase that best describes you on each line
2. Add up add the words circled in each column
3. Calculate a percent for each column. ( $N/28$ )
4. Plot your profile on the DiSC chart

*(ET: Extroverted/Thinker/**Director**)*

*(EF: Extroverted/Feeler/**Socializer**)*

## DOMINANCE

- Direct
- Results-oriented
- Firm
- Strong-willed
- Forceful

## INFLUENCE

- Outgoing
- Enthusiastic
- Optimistic
- High-spirited
- Lively

D

i

C

S

- Analytical
- Reserved
- Precise
- Private
- Systematic

- Even-tempered
- Accommodating
- Patient
- Humble
- Tactful

## CONSCIENTIOUSNESS

## STEADINESS

*(IT: Introverted/Thinker/**Investigator**)*

*(IF: Introverted/Feeler/**Influencer**)*

# “C” Conscientious Introvert-Thinkers/ “Cs”

## Strengths

- Accurate
- Fact finder
- Precise
- Organized

# “C” Conscientious Introvert-Thinkers/ “Cs”

## **Weaknesses** (as seen by others)

- Stubborn
- Boring
- Unimaginative
- Change stifler
- Nit Picker/Lost in the weeds
- Not Concerned With Others Feelings
-

# “C” Conscientious Introvert-Thinkers/ “Cs”

## Ineffective Behaviors by Others

- Lack of attention to detail
- Inconsistency
- Disorganization
- Being overly emotional

# “C” Conscientious Introvert-Thinkers/ “Cs”

## Effective Behaviors by Others

- Know your stuff with details
- Schedule time – make an appointment
- Use facts, logic, and structure
- Proceed step-by-step

# “Ds” : Extrovert-Thinkers

## Strengths

- Decisive
- Gets things done
- Confident
- Energy/Urgency

# “Ds”: Extrovert-Thinkers



## **Weaknesses** (as seen by others)

- Intimidates
- Alienates people
- Uses force instead of cooperation
- Insensitive about feelings

# “Ds”: Extrovert-Thinkers

## Ineffective Behaviors by Others

- Too much time on one issue
- Lack of preparation
- Being “on the fence”
- Lack of focus
- Social Niceties

# “Ds” : Extrovert-Thinkers

## Effective Behaviors by Others

- Get to the point
- Approach businesslike
- Be task-oriented
- Understand and support their goals

# “Ss”: Extrovert- Feelers

## Strengths

- People-oriented
- Persuasive
- Verbal skills
- Optimistic
- Self-Starters, Gets other going

# “Ss”: Extrovert- Feelers

## **Weaknesses** (as seen by others)

- Egotistical
- Lacks follow-through
- Flaky (impulsive)
- Disorganized
- Jumps to actions/conclusions

# “Ss”: Extrovert- Feelers

## Ineffective Behaviors by Others

- Rigid thinking
- Lack of challenge
- Too many details
- Following the rules blindly

# “Ss”: Extrovert- Feelers

## Effective Behaviors by Others

- Use flexibility
- Be enthusiastic
- Let them talk
- Use demonstrations

# ‘I’s’: Introvert-Feelers

## Strengths

- Likeable
- Loyal
- Team Player
- Patient
- Careful

# ‘I’s’: Introvert-Feelers

## **Weaknesses** (as seen by others)

- Indecisive
- Wasted time
- Overly emotional
- Illogical decisions

# “I’s”: Introvert-Feelers

## Ineffective Behaviors by Others

- Ignoring feelings
- Forcing a decision
- Being too intense or formal
- Threatening
- Not recognizing the “people” aspect
- Forcing deadlines/quotas

# ‘I’s’: Introvert-Feelers

## Effective Behaviors by Others

- Be casual and sincere
- Slow down and listen
- Make honesty safe
- Set progress goals
- Build them up

## DOMINANCE

**Priorities:** getting immediate results, taking action, challenging self and others

**Motivated by:** power and authority, competition, winning, success

**Fears:** loss of control, being taken advantage of, vulnerability

**You will notice:** self-confidence, directness, forcefulness, risk-taking

**Limitations:** lack of concern for others, impatience, insensitivity

Questioning  
Logic-focused  
Objective  
Skeptical  
Challenging

**Priorities:** ensuring accuracy, maintaining stability, challenging assumptions

**Motivated by:** opportunities to use expertise or gain knowledge, attention to quality

**Fears:** criticism, slipshod methods, being wrong

**You will notice:** precision, analysis, skepticism, reserve, quiet

**Limitations:** overly critical, tendency to overanalyze, isolates self

## CONSCIENTIOUSNESS

Active  
Fast-paced  
Assertive  
Dynamic  
Bold

## INFLUENCE

**Priorities:** expressing enthusiasm, taking action, encouraging collaboration

**Motivated by:** social recognition, group activities, friendly relationships

**Fears:** social rejection, disapproval, loss of influence, being ignored

**You will notice:** charm, enthusiasm, sociability, optimism, talkativeness

**Limitations:** impulsiveness, disorganization, lack of follow-through

Accepting  
People-focused  
Empathizing  
Receptive  
Agreeable

**Priorities:** giving support, maintaining stability, enjoying collaboration

**Motivated by:** stable environments, sincere appreciation, cooperation, opportunities to help

**Fears:** loss of stability, change, loss of harmony, offending others

**You will notice:** patience, team player, calm approach, good listener, humility

**Limitations:** overly accommodating, tendency to avoid change, indecisiveness

## STEADINESS

Thoughtful  
Moderate-paced  
Calm  
Methodical  
Careful

D

i

C

S

# Communicate Effectively

## How to Communicate with C-Style:

- Use data and facts
- Examine an argument from all sides
- Keep on task; do not socialize
- Disagree with the facts, not the person
- Focus on quality
- Avoid new solutions; use proven ideas
- Do not touch
- Be patient, slow down
- Do not talk about personal issues
- Explain carefully

## How to Communicate with D-Style:

- Be direct, brief, and to the point
- Focus on the task; stick to business
- Use a results-oriented approach
- Identify opportunities/challenges
- Ensure he/she wins
- Use a logical approach
- Touch on high points; don't over use data
- Do not touch; keep your distance
- Do not be emotional, do not dominate
- Act quickly, he/she decides fast

## How to Communicate with S-Style:

- Be patient, build trust
- Draw out his/her opinions
- Present issues logically
- Relax; allow time for discussions
- Show how solutions will benefit him/her
- Clearly define all areas
- Involve him/her in planning
- Slow down your presentation
- Provide the information he/she needs
- Secure commitment step by step

## How to Communicate with I-Style:

- Allow time for socialization
- Lighten up; have fun
- Ask for feelings and opinions
- Use touch (forearm and back)
- Create a friendly environment
- Be friendly and warm, do not ignore
- Set aside time for chatting
- Let him/her speak
- Give recognition
- Speak about people and feelings

# “Aha”

An “Aha” that often comes from this knowledge is the discovery that

**not everyone thinks and sees the world as we do!**

*(And that does not make them bad or wrong!)*

The importance of this self-knowledge is to become aware of our preferences - and how they may be impacting our effectiveness with other people.

*(always thinking my way is best=ego/ethno-centric)*

AND Understanding behaviors of others: So we can Align



# Recognizing the Manifestation of Difficult Behavior

*What we see as difficult in others, may be just right to them*

**Thin-skinned:** *Over-sensitive to even perceived slights*

**Shrinking-Violet:** *avoid social contact at all costs*

**Careless:** *believing that near enough is good enough*

**Chattering:** *constant talking about nothing without getting on with the job*

**Pedantic:** *Taking considerably longer than is needed on any job*

**Procrastinates:** *Leaving things until the last moment*

**Perfectionist:** *Unnecessarily judgmental, picky - self righteous*

# Recognizing the Manifestation of Difficult Behavior

*What we see as difficult in others, may be just right to them*

**Bullying:** *Those who seek a position of power by throwing their authority/will around, verbally and even physically*

**Arguing:** *Debating the point of a matter, especially when it is irrelevant*

**Pessimism:** *refusing to see the good side of ANY situation*

**Pig-Headed:** *Resist change by locking into one way or another of doing things*

**Over-Fussy:** *Taking an eternity to produce a good result*

**Know-it-all:** *Being closed to information from others*

# Coping with Difficult Behavior

## HOSTILE-AGGRESSIVES:

- Stand up for yourself (but don't become offensive).
- Give them time to run down.
- Take the high-road (stick to high level principles and positive images)
- Acknowledge their point of view and give credit where possible
- Use self-assertive language.
- Avoid a direct personal confrontation.

## COMPLAINERS:

- Listen attentively.
- Acknowledge their feelings.
- Avoid complaining with them.
- State the facts without apology.
- Use a problem-solving mode.

## CLAMS:

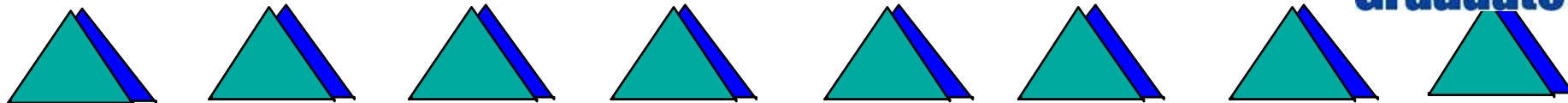
- Ask open-ended questions.
- Be patient in waiting for a response.
- Ask more open-ended questions.
- If no response occurs, tell clams what you plan to do, because no discussion has taken place.

# What Makes a Person “Difficult”?



- They may present a bottleneck in the decision-making process
- They may be insecure/manipulative
- They may be disinclined to treat people properly/politely
- They rather “be” right than “do” right
- They may refuse to take responsibility/be accountable
- They may be dishonest/unreliable and blame others
- They may constantly complain and spread negativity
- They may be abusive or bullying

**What’s Your Definition? And Who Are They?**



# Do you recognize these people?



## **The Know-It-Alls**

They're arrogant and usually have an opinion on every issue. When they're wrong, they get defensive.



## **The Passives**

These people never offer ideas or let you know where they stand.



## **The Dictators**

They bully and intimidate. They're constantly demanding and brutally critical.



## **The "Yes" People**

They agree to any commitment, yet rarely deliver. You can't trust them to follow through.



## **The "No" People**

They are quick to point out why something won't work. What's worse, they're inflexible.



## **The Gripers**

Is anything ever right with them? They prefer complaining to finding solutions.

# Identify Difficult People – And Dealing with Them

**A very close look at bad behaviors and good responses**

- D in Distress – Dictator/Manipulator/Tanks/Snipers
- I in Distress- Impulsive Exploders/Star Performers
- C in Distress – Passive Bubbler/Drooping Victim/Melancholy Escapist
- S in Distress – Reactive Analyzers/Complainers

Suggestions for dealing with each type – is an art and a science



# Cory the Complainer

## Symptoms

- Never satisfied
- Refuse to take responsibility
- Blame circumstances or others

## Remedies

- Listen to their concerns
- Make them responsible for solutions
- Clarify that if there is something to complain about then there is something that they can work to fix

# Negative Attitudes: Fixing Chronic Complainers

- ◆ Give them recognition for what they do well.
- ◆ Reassure them about their abilities.
- ◆ Accept their feelings.
- ◆ Check to see whether the complaints are more widely held by others. – Ask for specifics
- ◆ Get them involved in solutions

# Emotional Intelligence Self Assessment

Add up the scores for yourself and for someone else, or for the whole organization.

0.....12.....24.....36.....48.....60  
Very Low                  Low Average                  Average                  High Average                  Very High

0 – 12      Very Low

12- 24      Low Average

24-36      Average

36-48      High Average

48-60      Very High

# Module 4: Self Control – Managing Emotions

- A person's capacity to ensure that feelings do not interfere with getting things done, communications and relationships.
- ▣ *Self Control = Maturity*
- ▣ *The ability to act differently than your feelings*

# Emotional Intelligence

## Self Control = Maturity

- Controlling your:
  - ▣ Impulses
  - ▣ Emotions
  - ▣ Behavior
  - ▣ Actions
  - ▣ Words

*Despite the urges of nature and biology!*

**When Are You Being a Jerk? Is this you, or someone you know? You are a jerk by *Reacting Disproportionately to the Situation!* Or *Provoking negative reactions.***

- ❑ Immediately blames the other person for not getting the results you/they want.
- ❑ Put them on the defensive by asking questions intended to magnify the mistakes.
- ❑ Use a tone that reveals frustration, sarcasm and unwillingness to move forward to solve problem.
- ❑ Belittling, smugness, dismissive, judgmental superiority.
- ❑ Communicate that you have lost faith in them (or ignoring/avoiding).
- ❑ Remind them that you can easily replace them, or they are unnecessary.
- ❑ You unwittingly or obviously provoke a strong response

**Do You Know This Man?**

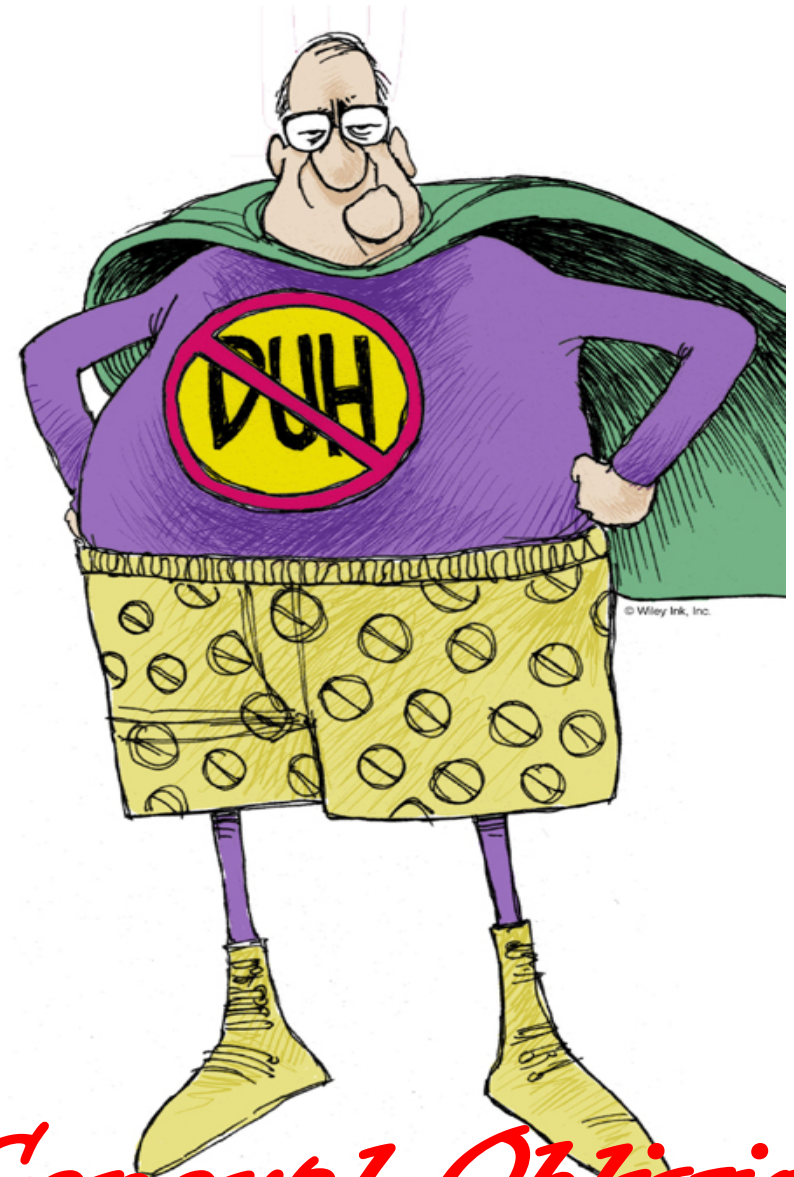


**Do You Know This Man?  
Is It Ever You?**

**If You Said NO! Then It  
Definitely Is YOU!**



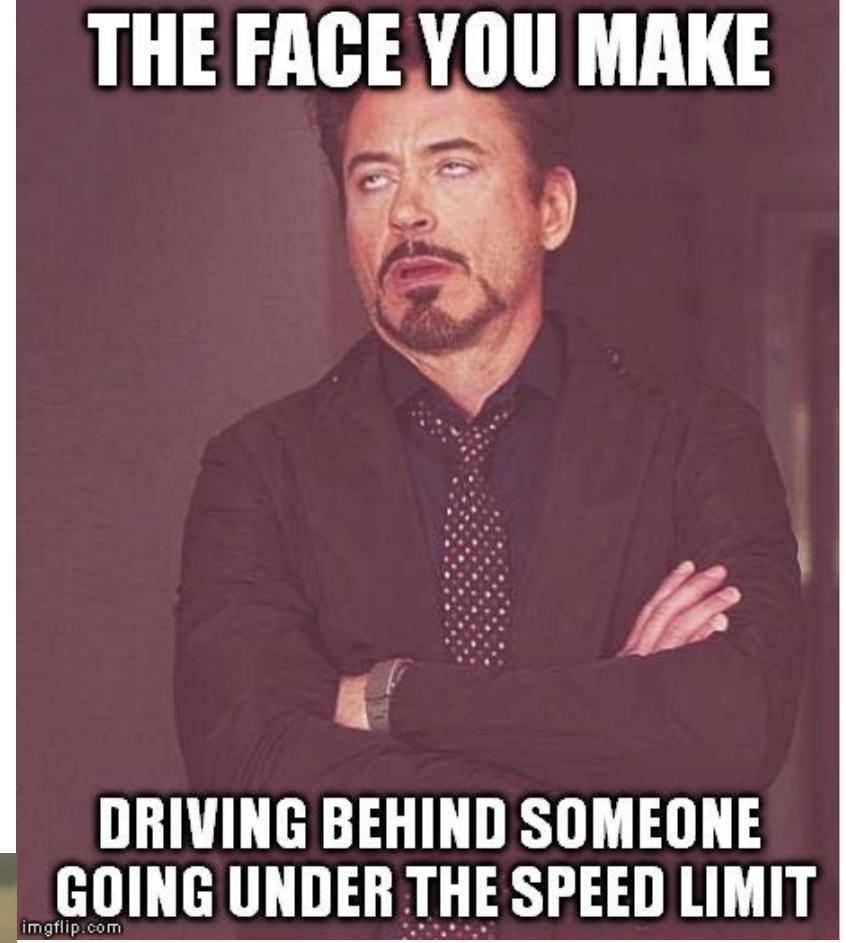
*Major  
Clueless*



*General Oblivious*







# Loss of Control – action based on feelings

- When you lose control, you also lose the ability to manage conflict. Conflict will take on a life of its own and escalate quickly!

*(you have the power to prevent escalation)*

- One of the best ways to manage conflict is to manage/avoid becoming angry (self control) and positive or deflective communication (identify the questions begging for answers.)

# Beliefs Affect Our Feelings and Assumptions

- **Ourselves**
  
- **About others in the world**
  
- **About how we expect things to - be rightness**
  - ▣ *We selectively find evidence to validate our learned assumptions, biases and stereo types*
  - ▣ *Evidence to the contrary causes “cognitive dissonance”. It is either dismissed or it opens minds!!*
  - ▣ *Learning or doing something new is threatening to our sense (belief) of “rightness”.*

# Beliefs Are Our Reality and Assumptions

- **how we think things are – or should be**
- **what we think is true and right**
- **what we expect as a likely consequence that will follow from our behavior**

*\*\*What we create through our thoughts is a belief system and that ultimately determines our behaviors - success in life.*

If you always do what you've always done...you'll always get what you've always gotten!

# What You Are Is Where You Were When Values/Beliefs Translate to “Rightness”

How You Were Value Programmed



*\*how we view the world is set*

*Attribution to Dr. Morris Massey*

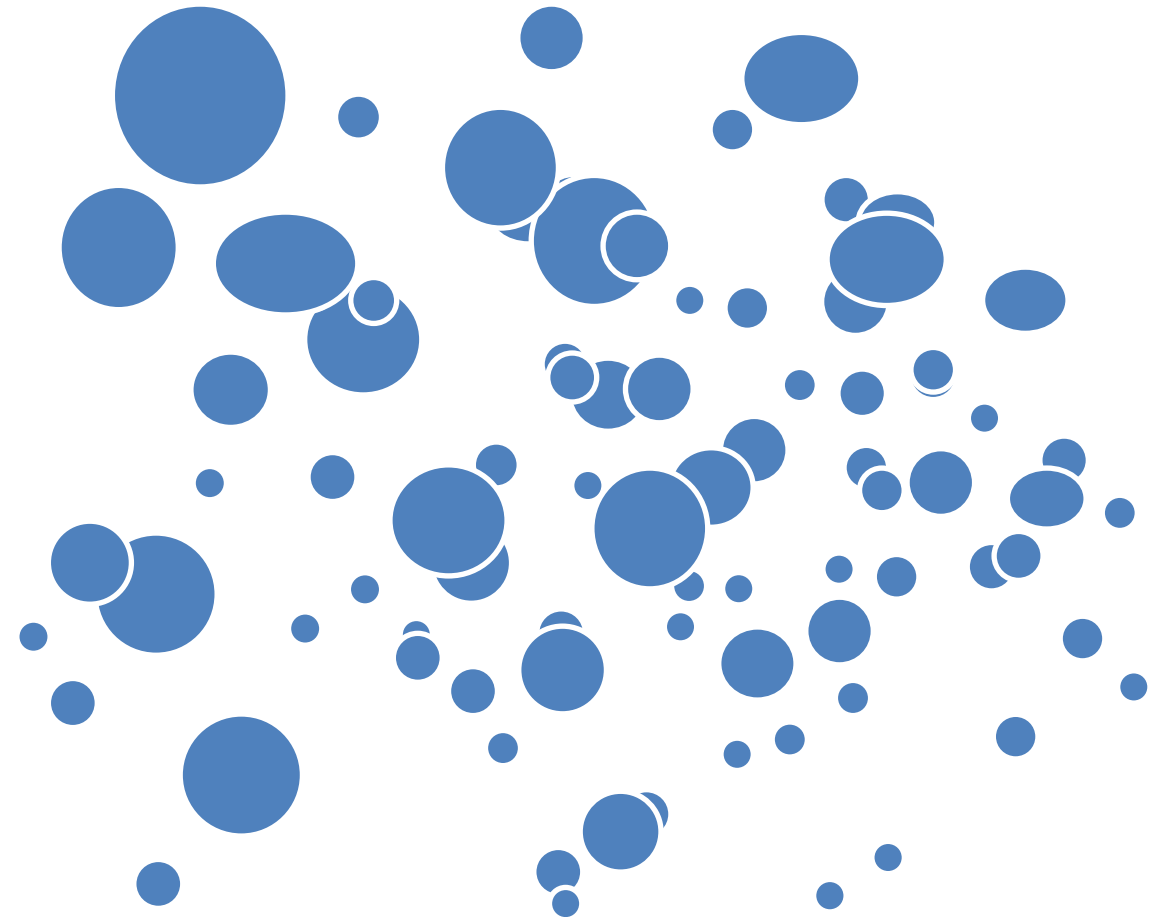
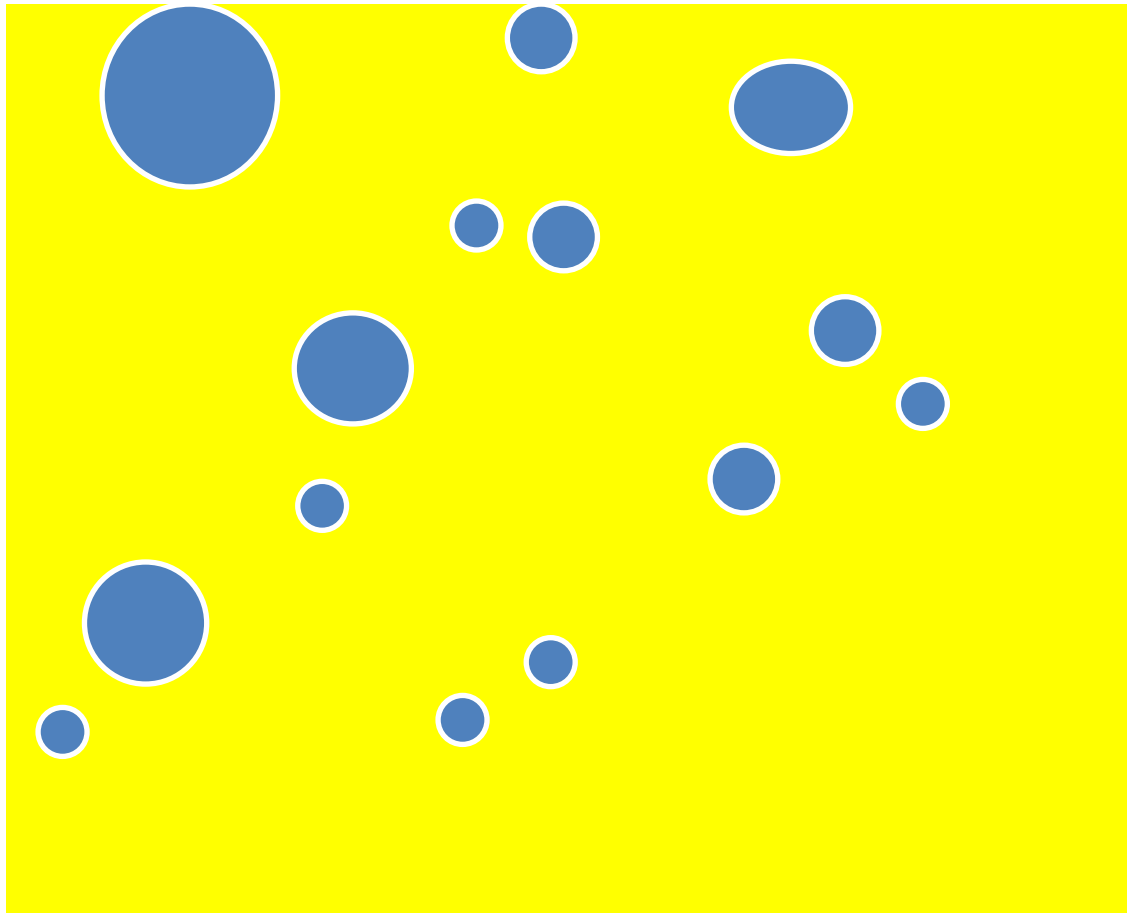
# Societal/Cultural Influences by Decade

1940s	1950s	1960s	1970s	1980s	1990s	2000s	2010s+
WWII Big Band Depression Holocaust	Korean War Suburbs Rock N' Roll Elvis Color TV Cold War Sputnik Segregation Ends Federal Highways	Kennedy Assassination Motown MLK Assassination Jet Travel Moon Landing Civil Rights Movement Beatles Viet Nam Rec Drugs Hippies Super Bowl Computers Race Riots	Viet Nam Protests Watergate Disco The Pill RvW/Choice Gas Crises Star Wars Munich Olympics Three Mile Island Jones Town Draft Elimination	Computers Challenger Berlin Wall AIDS Exxon Valdez Video Games CNN Michal Jackson	Cell Phones Internet Hip Hop Oklahoma City Columbine Nelson Mandela Desert Storm Newt Gingrich Clinton Climate Change	9-11 Gulf War II Rap DNA decoded Google Apple Ipod Katrina Social Networking Banking Collapse Obama	Obama Economic Recovery Trump Deep Water Horizon Marijuana ISIS Same sex Marriages Impeachment AI COVID-19 BLM

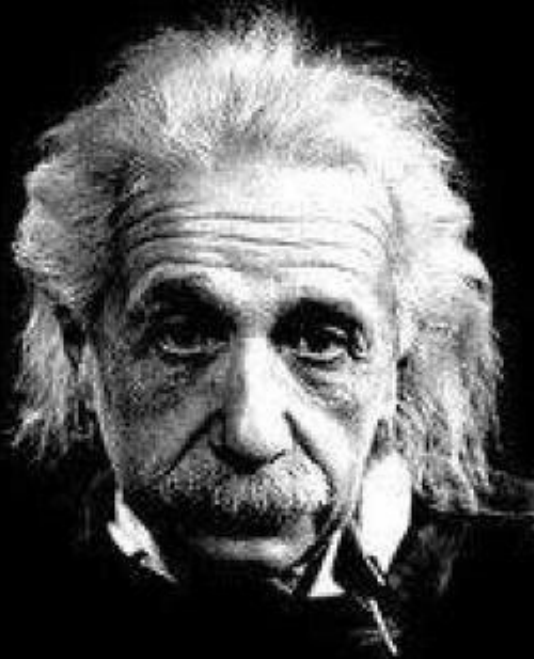
# Reference Points that Stimulate Beliefs and Thinking

Memory, Intuition, Control, Creativity & Critical Thinking

the more reference points the better to make connections, perspective  
Vs If the Only Tool You Have is a Hammer, Every Problems Looks Like a Nail



"WE CANNOT  
SOLVE OUR  
PROBLEMS  
WITH THE SAME  
THINKING WE  
USED WHEN WE  
CREATED THEM"



# Beliefs Can Be

- Constructive or rational beliefs
- Destructive or irrational beliefs
  - ▣ Beliefs are often deceptive

**Much of what we view as right or wrong, good or bad, is inherited from our family, our social groups and reference points –**  
**SO IT IS LEARNED!**

**We can learn new beliefs! (gain new reference points) But it is hard!**

Our *belief system* strongly influences our reactions to people and events in our lives.

***We see the world as we are – not as it is!***

# Rational/Irrational Beliefs

## **Rational beliefs:**

positive, constructive and adaptive

## **Irrational beliefs:**

lead to negative emotions like anxiety, anger, and depression

We get stuck in a rut of Dogma (other people's thinking)

**The way out:** Challenge the Status Quo and Assumptions

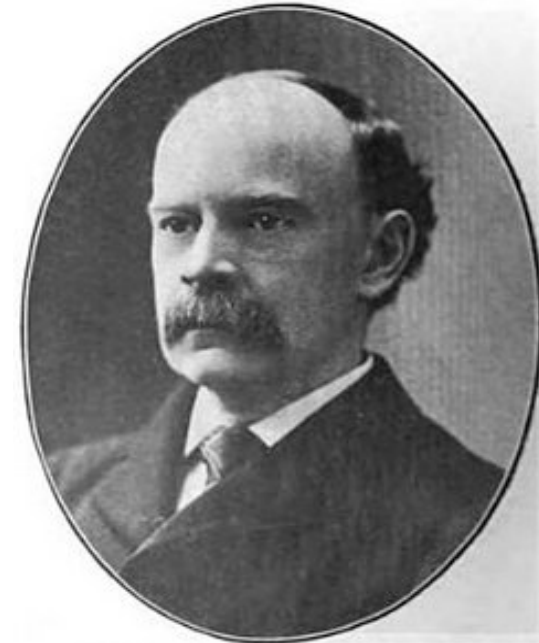
***If this is in your control – which do you choose?***

# Charles Duell – Progressive Thinker?? Or Dogma?

In 1889, Charles H. Duell was the Commissioner of US patent office.

He is widely quoted as having stated that the patent office would soon shrink in size, and eventually close, because...

*“Everything that can be invented has been invented.”*



CHARLES HOLLAND DUELL  
LAWYER  
U. S. COMMISSIONER OF PATENTS 1898-1901

# The Action/Behavior Results Pyramid

**Actions/Behaviors Results**



# Exercise: Emotions Can Disrupt our Thinking



Our emotions are formed by past experiences and beliefs:  
How we react is a matter of perception

1. Think of a time when you were angry and upset.
2. What caused it?
3. What did you say or do that you later regretted or were embarrassed about?
4. How could you have handled it differently?

**Exercise:** Partner-up to tell your story



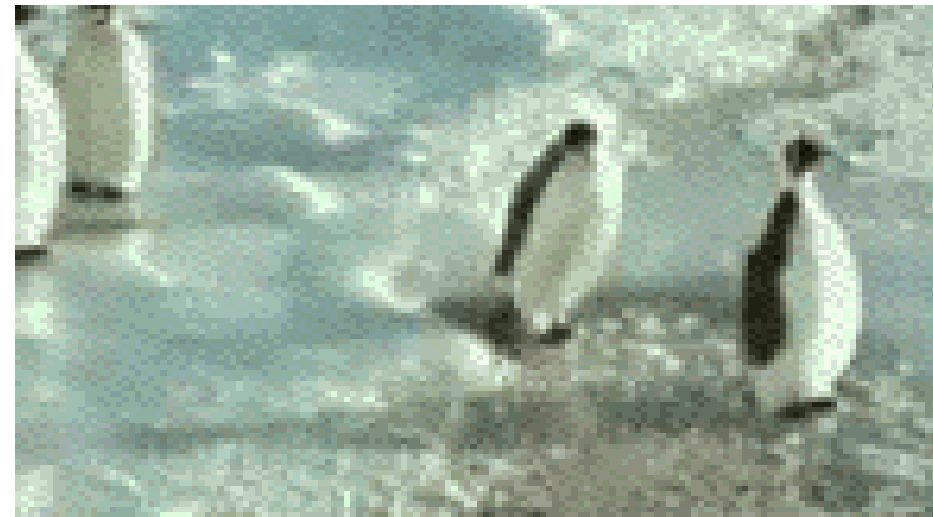
# When You Are Put on the Spot

- Stay calm
- Think before you speak (*avoid impulsiveness*)
- Respond positively
- Acknowledge valid points
- Stay with what you know
- Redirect
- Buy time

# Managing Hostility



- Point Out Hostility (no one wants to appear hostile)
- Give People Credit for Their Opinions
- Ask Good Questions Back (what would you do, how would you solve the problem, or address pain)
- Use the Power of Politeness and Your Command of the Floor to Deflect the Hostility
- Never Apologize for Your Position
- Stick to the Facts, Never Get Personal
- Find Common Ground



# Use EQ to Avoid Confrontation, Manage Their Feelings – Gaining Control and Influence



- Use Winning Attitude, Build Enthusiasm
- Remain Calm, Paint Positive Images
- Be Warm, Contrite, Positive Facial Expression
- Find Common Ground and Future Orientation
- Use the Power of Politeness
- Give people credit for their point of view/status
- Ask them to participate in the solution



## A cooling-off period, with a commitment to continue the conversation, works because...

- It shows the other person that you're interested in solving the problem.
- It doesn't condone anger; rather it redirects it.
- It leaves the door open for further discussion.

# The Paradox of Anger

- The more you/they express anger, the more habitual it becomes.
- The more you let others vent their anger, the sooner it will dissipate.

# Behavioral Characteristics

- ❑ **Never Argue**
- ❑ **Ask Stimulating, Empowering Questions**
- ❑ **Try to Make a Friend (*charm to disarm*)**
- ❑ **Try to Get on the Same Side of the Fence**
- ❑ **Never Tell a Lie**
- ❑ **Never Offend**
- ❑ **Never Act as if You Are Defeated**
- ❑ **If You Can Make Them Laugh or Smile, They are Yours!**
- ❑ **Show that you know the “territory” from *their* point of view**
- ❑ **Always Take the “High Road” Appeal to the Altruistic**
- ❑ **Always use warm facial/body expressions**

# Anatomy of a Conflict

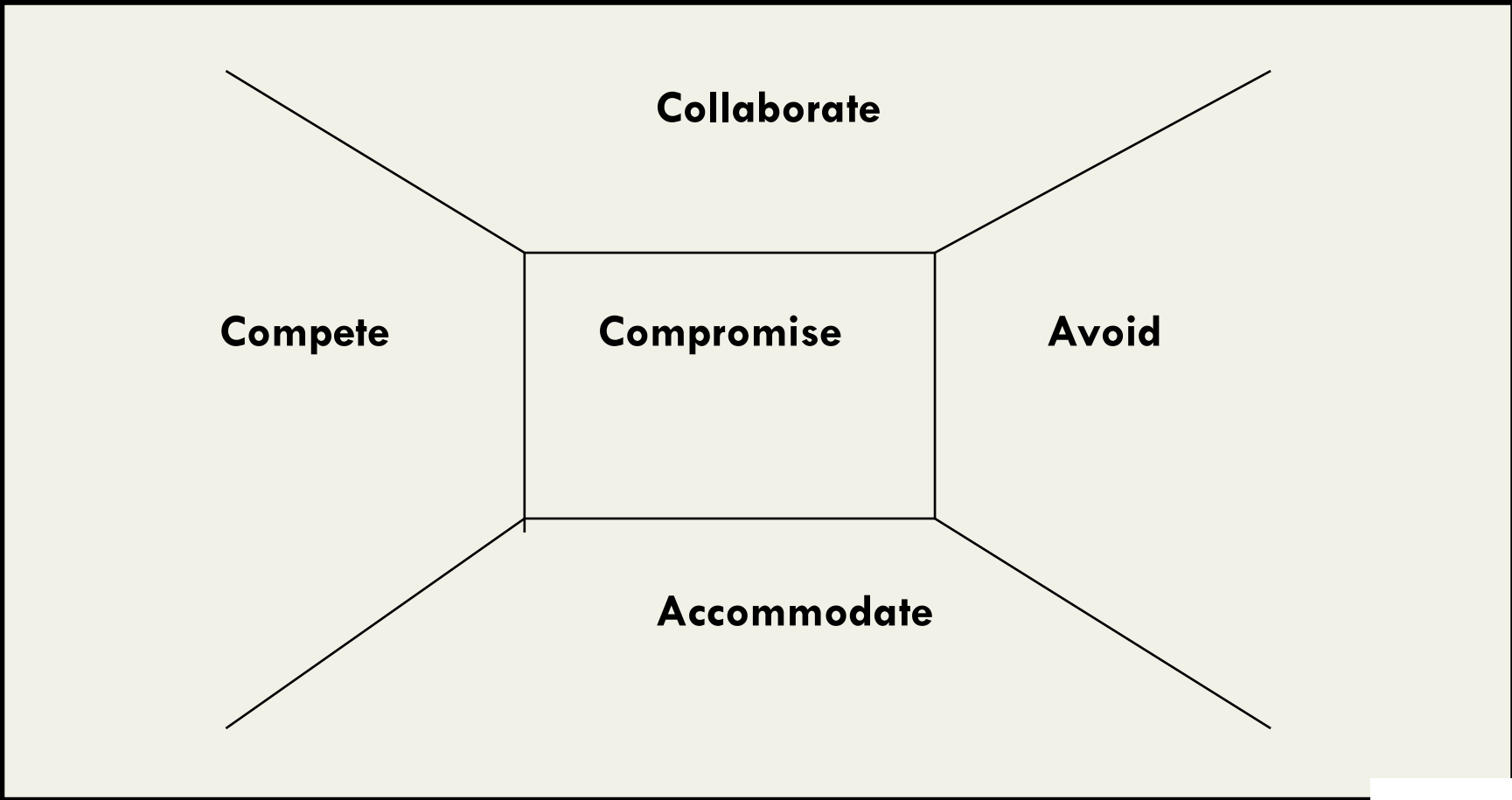
- ❑ Something hits your hot buttons and conflict erupts – or you hit theirs
- ❑ Conflict builds distrust and bias
- ❑ The higher the stakes, the stronger your biases (*you take a position*)
- ❑ As conflict escalates, bias and distrust escalate
- ❑ Dialogue is disrupted and both people are prevented from discovering mutual interests
- ❑ Control is lost – you lose your ability to manage conflict and it takes on a life of its own

# Causes of Conflict and Difficult People

## *Where does it come from?*

1. Different/Competing Goals and Beliefs/Values
2. Communication Misunderstanding
3. Structure/Alignment (Power/Resources)
4. Change
5. Cultural Differences in a Diverse Workforce
6. Unclear/Unstated Expectations
7. Need to Be In Control (Win/Be Right)

# Conflict Management Strategies



# 5 Conflict Response Styles

- Accommodating or Harmonizing
  - ▣ I lose, you win
- Avoiding,
  - ▣ I lose, you lose
- Compromising
  - ▣ We both win, we both lose
- Competing or Directing
  - ▣ I win, you lose
- Collaborating or Problem Solving
  - ▣ I win, you win

# Conflict Management Assessment

- ❑ **Instructions:** What follows are several pairs of statements that describe how you might possibly respond to situations where you might be at odds with your manager, peer, auditee or anyone.
- ❑ **Choose the A or B** statement which is most characteristic of your response. You must make a choice. *Be honest, not how you think you should answer!*
- ❑ **Scoring:** *Circle the letter on each numbered item of the Assessment*
- ❑ **Total** *the number of items circled in each column:*
  
- ❑ *Competing? Collaborating? Compromising? Avoiding? Accommodating?*

# Conflict Resolution - Winning Strategies

## Two Ways to Talk about an Issue – Finding - Recommendation

<b>Internalized Point of View - Me First</b>	<b>Externalized Point of View - Shared Intent</b>
Talk at the other side	Talk with them
Focus on the past	Focus on the future
Talk about who is right	Talk about what is to be done
Blame them for the problem	Tackle the problem jointly
Score points	Clarify interests
Take a position	Invent options

Do meetings with auditees or within your organization tend to fall more to the left or right side of this chart? Why?

### Discovering Common Interests

1. Look behind positions for the underlying interests
2. Put yourself in the other side's shoes
3. Ask "Why?"
4. Ask "Why Not? What would be wrong with...?"
5. WIIFM and MMFGAM – Their Point of View (what they value, believe, feel)

# Use EQ to Lower the Temperature & Gain power and influence with people!

86

- ❑ Take a Time-out; Reconvene at a later time
- ❑ Ask open ended questions to help find intent/point of view
- ❑ Find common ground – where is there agreement
- ❑ Make a commitment to get to resolution
- ❑ Stick with your message - tied to desirable outcome
- ❑ Give people credit for their concerns
- ❑ Ask for specifics – and give specifics (avoid generalities)
- ❑ Find out what you don't know & what they don't know
- ❑ Find out what they want
- ❑ Treat people with ultra respect – raise there status
- ❑ Demonstrate challenges as opportunities!!

# Tips for Managing Conflict

- Deal with conflict in a timely manner
- Define the issue (what problem are we trying to solve)
- Future orientation - Agree on what success looks like
- Deal with the issue not the person – avoid escalation
- If possible, keep information about the conflict confidential
- Take responsibility for personal change
- Focus on problem solving (*don't get stuck in a position about rightness/winning*)

# “I” Messages

## ◆ “I” Message

- ✓ Is an appeal rather than a demand that the other person change.
- ✓ Is focused on employee behavior, its effect, and how it makes the employee feel.
- ✓ Frames the sender’s displeasure in a way that addresses the problem openly and tactfully and is more likely to pave the way toward a resolution in an objective, supportive manner.

# “I” Messages (cont’d)

## ◆ Major Parts of an “I” Message

- ✓ **Feelings:** Indicate how the sender feels about the effects of the behavior.
  - Angry, embarrassed, frustrated, concerned, etc.
- ✓ **Behavior:** Identify the specific behavior.
  - Absenteeism, not keeping appointments, not meeting quota, etc.
- ✓ **Effect:** Spell out the end result of the behavior.
  - Poor example for others, making the work unit look unproductive, inconvenience to others in the unit, etc

# Examples of “You” and “I” Messages

*Be specific - Show impact*

## “You” Messages

- ❑ You neglected to proofread that report, you should know better than to let a report go out like that.
- ❑ You know I expect you to attend our regular meetings. You need to attend them from now on.



## “I” Messages

- ❑ When I noticed the many typos in the report, I was really upset. It makes our unit look careless and unprofessional.
- ❑ When you don't attend our regular meetings, I'm concerned that we miss your expertise and insight.

# Listen with Questions

## using “I” message and empowering questions

### *Phrases to signal openness*

- I feel like you are upset
- I did not realize you disagreed
- I didn't expect you to say no
- I was disappointed that the project was not ready, because it made us all look bad to the client/boss.

### *Phrases to invite expression and constructive resolution*

- Can you tell me how you feel?
- Why don't you like the plan and how can we improve it?
- Can you tell me why you are opposed and what can we do gain your approval?

## Conflict Properly Managed Can Result In:

- Clarification of the issue
- Possibilities for improvement of relationships
- Additional ways of thinking
- Options for actions that otherwise may not have been considered.
- Stirs the emotions, reflected in effort/action (like competition in a game) *Necessary to avoid complacency!*
- Discovery of common ground

# Module 5: Attitude and Motivation

- A person's ability to remain optimistic and clear have direction in the face of challenges or failure – ability to be a ***self starter and motivate others***
  - ▣ *Seeing challenges as opportunities!*
  - ▣ *Not seeing yourself as a victim! – Fail Forward!*
  - ▣ *Attitude is contagious!*
  - ▣ *Having positive thoughts and words!*
  - ▣ *Articulating vision – what success looks like?*
  - ▣ *Bias for action!*

# Affect and Mood in Organizations - Attitude is Contagious!!

- **Positive Affectivity**- A tendency to be relatively upbeat and optimistic, have an overall sense of well being, see things in a positive light and seem to be in a good mood
- **Negative Affectivity** - A tendency to be generally downbeat and pessimistic, tend to see things in a negative way, and seem to be in a bad mood - generally complains & looks to recruit other complainers
  - *How do you occur to others? How do you know?*
  - *What type of person would you like to work for, have work for you, have as a friend/significant other?*
  - *How does this translate to audits?*

# Attitude

## Attitude

Is the mental state that you have while carrying out your actions.

It is the way you view the world around you and choose to see it, either **positively** or **negatively**.

*And put it on display!*

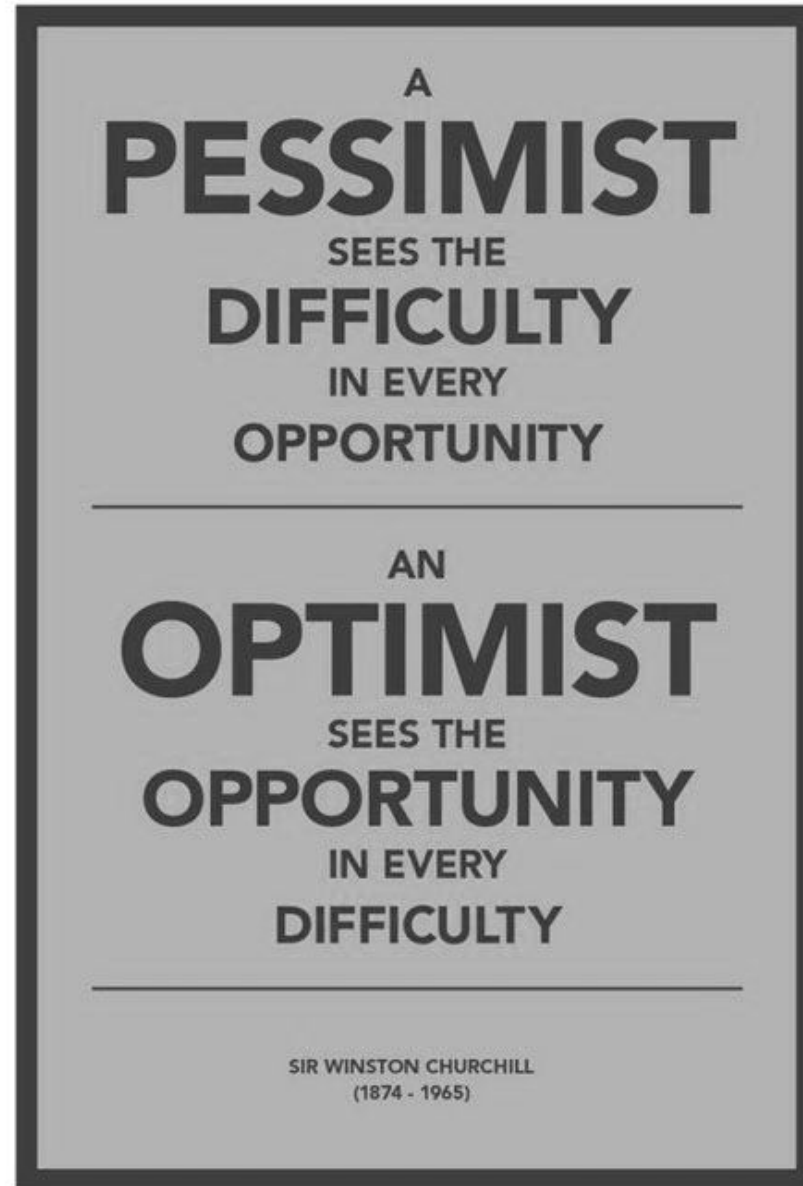
# Use Positive - Constructive Tone!

Exercise: Turn these into positive phrases

## Practice WIFM & MMFGAM

- Don't come in late**
- Don't blame others for your mistakes**
- Don't lie steal or cheat**
- Stop wasting Time**
- No gossiping**

# Look for the Power of the Possible



# The Law of Attraction

*“Whatever we think about, we bring about.”*

**The Law of Attraction is considered by many to be the most important law of all in explaining both success and failure.**

**Our thoughts become our words. Our words become our actions.**

*“If you think you can, or you think you can’t – you are right!”*

**(Henry Ford) (self fulfilling prophecy)**

# Biology=Unconscious/Subconscious Motivation

- “Protect yourself: fight back or run away” (Anger)
- “Intruder in the Territory: do something” (Danger)
- “Possible sex object: show off” (Sexuality)
- “Displaced father figure: appease immediately” (Fear/Surrender)
- “Need to be needed: nurture/command attention” (Manipulation)
- “Need to be in control/win: assert self at all costs” (Intimidation)
- “Protect and defend sense of rightness” (Threat to our beliefs)

***This is like a survival instinct!***

# Motivation: Intrinsic and Extrinsic

- **Intrinsic Motivation (internal)** done because of the pleasant feeling of satisfaction.

*(Desire to Gain: recognition, respect, satisfaction, achievement)* : Enrolling in a professional development class for sake self improvement

- **Extrinsic Motivation (external)** not done for own sake, but for the consequences associated with it. Consequences can include pay, benefits, job security, and working conditions. *(Loss or Pain)*
  - Example: Working toward receiving a college degree – Vs. pain of flunking out.

# Intrinsic Motivation

- Satisfaction from a job well done
- Taking advantage of opportunities
- Overcoming challenges
- Motivation to do from within
- Need to achieve – to do the right thing

# Extrinsic Motivation

- Attention to and from outside factors
- Praise and perks are necessary
- Reward for work focus
- Money
- Loss or punishment of not acting

*How does intrinsic and extrinsic motivation relate to audits?*

# Emotionally Intelligent leader have goals!

## Be **SMART** About Setting Goals

*(similar to the standards for recommendations)*

- ❑ **S**pecific
- ❑ **M**easurable
- ❑ **A**greed to/**A**ctionable
- ❑ **R**eachable/**R**ealistic
- ❑ **T**ime Specific

*X by Y (by Z)*

# Giving Praise

- Be the first to recognize staff/auditee for something noteworthy.
- Praise them in front of their peers.
- Awards are nice but not critical.
- Mention individual noteworthy staff member performance to your supervisor.
- Recognize what is working/corrective actions taken

**Exercise:** practice saying the nicest thing you can – what happens?

# Module 6: Empathy

□ A person's ability to understand how others are feeling – “walking a mile someone else's moccasins”.

□ **The question is:**

▣ *Do you care how they feel?*

▣ *How do you show it?*

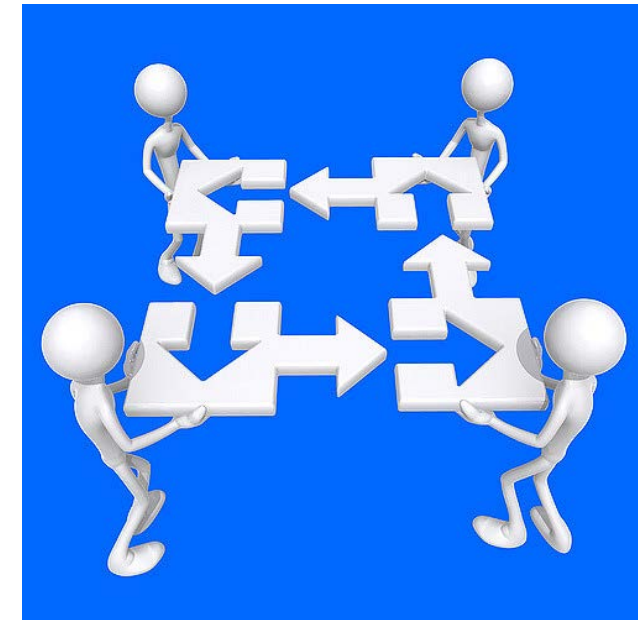


*How would you like it  
if the mouse did that to you?*



# Module 7: Social Competency Awareness - Ability to Build Relationships and Influence Others

- A person's ability to get along with others, build relationships and influence others
  - ▣ *Do people feel energized by you?*
  - ▣ *Do people feel drained by you?*
  - ▣ *Do you reach out to share with others?*
  - ▣ *Do you develop mutual trust?*
  - ▣ *Do you show sincere concern?*
  - ▣ *Do you make friends easily – are you approachable?*
  - ▣ *Do you initiate positive relationships?*
  
- How would others answer these about you?



# Tips for Establishing Rapport and Relationships

- ❑ Possessing and showing a desire for a better relationship
- ❑ Continuously learning about human behavior (understanding)
- ❑ Individualize interaction (positive body language)
- ❑ Adjust your communication style to the other persons'
- ❑ Let them know you want to work with them effectively
- ❑ Express your knowledge and understanding of them as a person
- ❑ Be truthful
- ❑ Establish trust (share, invest time, show respect, contrite, vulnerable)
- ❑ Acknowledge their fears, frustrations and points of view
- ❑ Finding common ground/accepting differences
- ❑ Encourage their desires and goals
- ❑ Enhance their status
- ❑ Use Active Listening!

# Establish Trust

- ❑ **Mirroring**--reflecting another person's communication style back to them in a positive way. Mirror, don't mimic!
- ❑ **Self-awareness**
- ❑ **Self-control**
- ❑ **Motivation:** desire to show empathy.
- ❑ **Communication skills**
- ❑ **Listening**

# Listening Skills

- Most people think they listen effectively, but very few really do.
- Playwright Wilson Mizner was quoted as saying, “A good listener is not only popular everywhere, but after a while he knows something.”
- Auditing is the practice of good listening. To be good auditors we must be good listeners.
- Listening is a skill that must be studied and practiced. Listen with your eyes and ears.

# Listening Skills (cont.)

## Good listening involves three steps.

1. Hearing – means more than listening enough to catch what the speaker is saying, If you can repeat the information, then you have heard what was said.
2. Understanding – happens when you take what you heard and understand it in your own way.
3. Judging – Does what was said make sense?  
Do you believe what you heard?

## Listening Skills (cont.)

- **Paraphrasing** – is a helpful technique to improve your listening skills.
- It can be done in three ways.
  1. Verbatim – repeating word for word.
  2. Gist – repeating a general understanding of what you heard.
  3. Inference – putting your own spin on what you heard.

# Tips to Becoming a Good Listener

- Give your full attention to the speaker.
- Make sure your mind is focused.
- Let the speaker finish before you speak.
- Finish listening before you begin to speak.
- Listen for main ideas.
- Ask questions when necessary.
- Give feedback (sit up straight, maintain eye contact, nod, etc.).
- Use Positive Body Language
- Don't make it about you (avoid personal pronouns)

# Listening

**Staying Focused** is keeping your full attention centered on the speaker.

**Capturing the Message** is understanding, completely and accurately, the speaker's message.

**Helping the Speaker** involves paying attention and giving supportive feedback.

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# Active Listening

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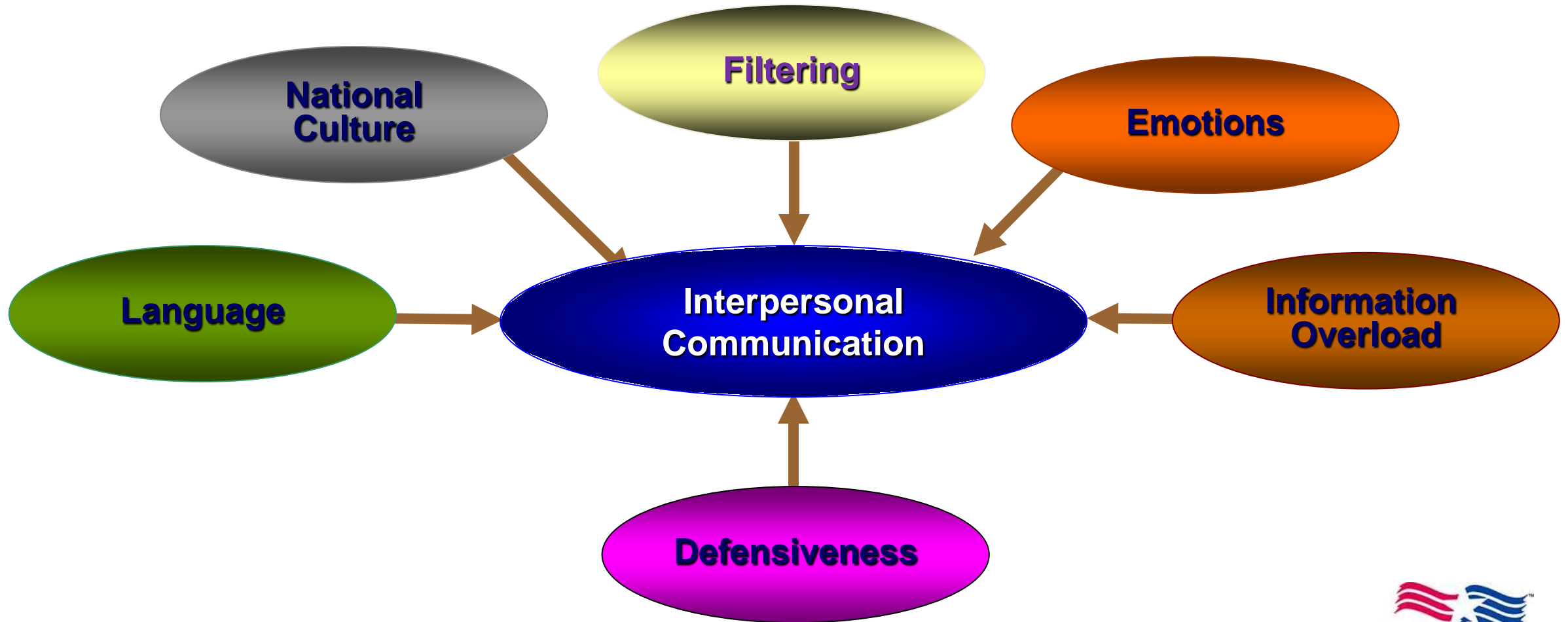
# Listening Pitfalls

- **Poor listeners may be distracted from understanding because of:**
  - Conflict – may cause listener to think about their prejudgments, stereotypes, emotions.
  - Like-mindedness – may cause listener to hear things they want to hear.
  - Ambiguous messages – may cause listener to hear what is consistent with their own beliefs or views.

# Three Obstacles to Listening

- 1. Difference between speaking and listening rates**
- 2. Loss of objectivity** (*preconceived judgment*)
- 3. Being busy planning the response**

# Interpersonal Communication Barriers



## Multiple Interpretations of Words: *what we hear vs. what is meant*

**FIX** the machine to its foundation. (anchor)

**FIX** that nitpicking cost accountant. (give just due)

**FIX** the cash register. (repair)

**FIXING** to go to the storeroom. (getting ready to)

**FIX** our position regarding overtime policy. (establish)

**FIX** you up with that young engineer. (arrange a date)

A banquet with all the **FIXIN'S**. (special effects, side dishes)

**FIX** things up with the salespeople. (make amends, patch up a quarrel)

If we don't make quota, we're in a **FIX**. (a pickle, a bad position)

**FIX** the date outcome. (so that it's favorable, rig it)

**FIX** your hair before seeing the boss. (arrange, make orderly)

**FIX** the department meal on Friday. (cook, prepare)

**FIX** the company's mascot dog. (neuter)



# Read This:

Finished files are the Result  
of Years of Scientific Study  
Combined with the Experience  
of Many Years

**How Many “F”s Did You See?**

# ***Scotoma* – Blind Spot**

## **6 “Fs”**

**F**inished **f**iles are the Result  
**o**f Years **o**f Scientific Study  
Combined with the Experience  
**o**f Many Years

# Blind Spots = Your Reference Point

To the right is a picture of an old bottle. Look closely at the artwork on the bottle. What do you see?

You see a couple in an intimate pose. Right? Interestingly, young children immediately see nine dolphins. They do not see the intimate couple because they have no prior reference point associated with such a scenario.



# Linguistic Styles of Men and Women

A number of popular books about the different linguistic styles of men and women have been written in recent years. Among them are Deborah Tannen's *You Just Don't Understand: Women and Men in Conversation* and John Grey's *Men Are from Mars, Women Are from Venus*. Some of their ideas, greatly simplified, are shown here.

	Women	Men
Object of talk	Establish rapport, make connections, negotiate inclusive relationships	Preserve independence, maintain status, exhibit skill and knowledge
Listening behavior	Attentive, steady eye contact; remain stationary; nod head	Less attentive, sporadic eye contact; move around
Pauses	Frequent pauses, giving chance for others to take turns	Infrequent pauses; interrupt each other to take turns
Small talk	Personal disclosure	Impersonal topics
Focus	Details first, pulled together at end	Big picture
Gestures	Small, confined	Expansive
Method	Questions; apologies; "we" statements; hesitant, indirect, soft speech	Assertions; "I" statements; clear, loud, take-charge speech

# Tune Into Body Language



**“Body language” is the communication of personal feelings, emotions, attitudes, and thoughts through body movements such as gestures, postures, and facial expressions.**

**People who are adept at reading non-verbal cues are better at social interactions and considered more socially comfortable and confident.**



# Gestures and Body Language

## Use Energy to Create Interest

- Use Your Body to Communicate
- Your Hands and Facial Expression
- Tell the REAL Story!
- Your Eyes Make the Connection and Personalize Your Ability to Emote!
- Posture and Gestures for Emphasis
- Smile! It is a Reciprocal Involuntary Reaction to Smile Back
- Space – Don't Invade!



# Exercise: Interpret the Body Language

Non Verbal Behavior	Interpretation
Consistent Eye Contact	
Rubbing the Eyes	
Hand to Cheek	
Touching Face, Slightly Rubbing Nose	
Head Resting in Hand, Eyes Downcast	
Patting/Playing with Hair	
Arms Crossed on Chest	
Fist Clinched	
Excessive Blinking	
Hands on Hips	
Tapping or Drumming Fingers	
Pinching Bridge of Nose	
Open Palm	
Rolling the Eyes	
Feet Pointed or Body Leaning Toward the Exit	

# Exercise: Interpret the Body Language

Non Verbal Behavior	Interpretation
Consistent Eye Contact	Confident, Honest
Rubbing the Eyes	Doubt, Disbelief
Hand to Cheek	Evaluation, Thinking
Touching Face, Slightly Rubbing Nose	Rejection, Doubt, Lying
Head Resting in Hand, Eyes Downcast	Boredom
Patting/Playing with Hair	Lack of Self Confidence, Insecurity or Attraction Preening
Arms Crossed on Chest	Defensive, Cold or Uncomfortable
Fist Clinched	Angry, Stressed
Excessive Blinking	Lying
Hands on Hips	Impatience
Tapping or Drumming Fingers	Impatience, Nervous
Pinching Bridge of Nose	Negative Evaluation
Open Palm	Sincerity Openness, Warmth
Rolling the Eyes	Dismissive
Feet Pointed or Body Leaning Toward the Exit	Anxious to Leave, Uncomfortable



# Pointers for Receiving Feedback

- ◆ Listen carefully
- ◆ Listen non defensively
- ◆ Check for understanding
- ◆ Ask for specific examples
- ◆ Discuss alternatives and options
- ◆ Consider the feedback carefully
- ◆ Thank the giver

# Getting feedback on **Blind (Spots)** to

1. What behaviors have you observed that may cause me trouble in the future?
2. What one change could I make that would have the greatest positive effect on my success?
3. How might my strengths work against me?
4. Ask for specific examples.

# Getting feedback on **Conditions**

1. Do I tend perform to best with a team or alone?
2. At what tasks do I appear to struggle most to accomplish?
3. Under what circumstances do I make the greater contributions?
4. When do my emotions/ego get in the way?

# SWOT Analysis – Getting Input and Buy-In

<b>STRENGTHS</b>	<b>OPPORTUNITIES</b>
<ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>4.</li><li>5.</li></ol>	<ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>4.</li><li>5.</li></ol>
<b>WEAKNESSES</b>	<b>THREATS</b>
<ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>4.</li><li>5.</li></ol>	<ol style="list-style-type: none"><li>1.</li><li>2.</li><li>3.</li><li>4.</li><li>5.</li></ol>

# **Scully and Parker: Performance Conflicts**

- ◆ What Personality Type is Each Player?
- ◆ What are Effective ways of dealing with each?
- ◆ What types of performance conflicts are Smith and Jones trying to deal with, respectively?
- ◆ How did each mis-diagnose and therefore mishandle each employee?
- ◆ What are your diagnoses and suggestions for improving the performance of Scully and Parker

# Role Playing Situation– The Auditor’s Mistake

5 Roles: Please get in groups of 5

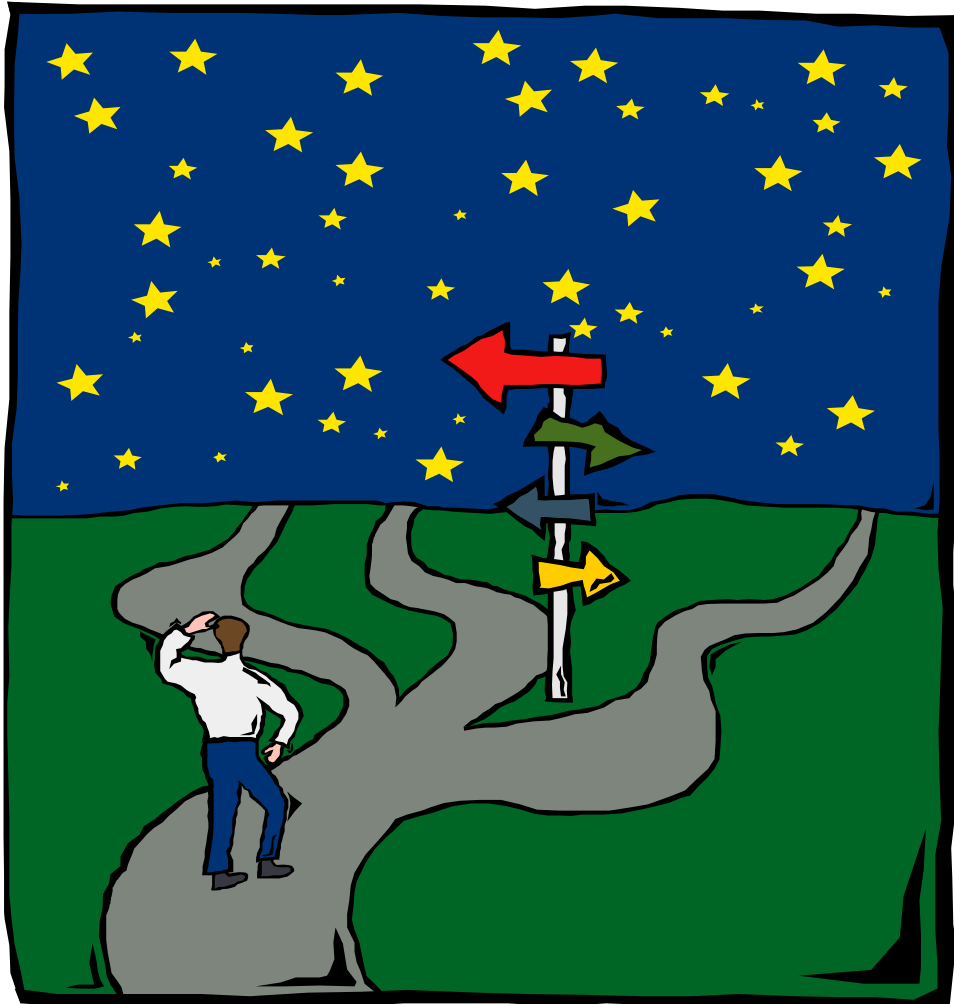
1. The Supervisor’s Viewpoint
2. The Auditor’s Viewpoint 1
3. The Auditor’s Viewpoint 2
4. The Auditor’s Viewpoint 3
5. The Observer

# What the Observer is Looking For in Managing Conflict

1. Build Relationships (positive images-not defensive reaction)
2. Determine and Agree on the Problem
3. Evaluate the Impact and Consequences
4. Identify a Desired Outcome
5. Get a Commitment to Act
6. Follow-up

# The Realities of Choice

25% of life is what happens to us;  
75% is how we react



- Our style may be limited by:
  - ▣ Situational constraints.
  - ▣ Needs for flexibility.
  - ▣ Mixed messages.
  - ▣ ***How we respond is a matter of Choice!***

# Characteristics of Mental Toughness

- Positive but realistic outlook
- Control in emotional situations
- Solution-focused during conflict
- Alertness and focus
- Self-confidence
- Resilience – Failing forward
- Sense of humor
- Willingness to take responsibility/accept blame
- See challenges as opportunities

## FINAL THOUGHTS

□ No one can control you and your feelings, emotions and actions – Unless you let them!!!

*Attitude is Contagious!*

# Action-Oriented Recommendations

## The Role of Emotional Intelligence – Right Brain

- Properly Directed – *to those with authority to act*
- **Hard-hitting** – *avoid vague or soft language (values/beliefs)*
- Specific – *tell exactly what (but not how) is needed*
- **Convincing** – *well supported and describes “why”*
- Significant – *demonstrated purpose and impact*
- **Positive Tone** – *promotes action, not defensiveness*
- **Deal with Underlying Causes** – *not the symptoms (why)*
- Be Feasible – *legal and practical*
- Cost Effective – *must have a cost/benefit*
- **Consider Alternatives** – *look for creative solutions*

# Actionable Recommendations (cont.)

## The Role of Emotional Intelligence – Right Brain

- Using the Power of Persuasion – make a compelling argument – demonstrate commitment
- Recommendation should be hard hitting/significant – Appeal to their interests
- Get Buy-In Through Participation/In-put
- Paint Recommendations in Positive Terms
  - Show as Opportunity
  - Not as a Threat
- Demonstrate WHY the recommendation is important
- Demonstrate WHO benefits, or/and HOW
- Make Recommendations **Forward Looking toward Achieving a Desirable State**

# Commitment – Making Improvements Happen

- Staff/Personal Commitments
  - Setting expectations for action (agency/auditors)
  - Believing in their recommendations; conviction to desired action and improvements
  - Promoting action through open communication
  - Cooperating and helping: finding alternatives
  - Believing in the need to change, making progress, perseverance

# Commitment – Making Improvements Happen

- Organizational Commitment
  - Policies and Procedures (joint agency/audit for action)
  - Assigning Accountable roles/responsibilities (Agency)
  - Effective Audit Management Systems:
    - audit planning for significant need and benefit;
    - appropriate objectives with actionable outcomes;
    - Management attention to progress/ actionable results
    - Prompt action to go/no-go decisions
  - Resources Allocations and Staffing for Follow-up
  - Training on Requirements, Process, Responsibilities
  - Performance Recognition System Promoting Personal Contribution to Action and Results