SPP hopes you find these tools useful. If you would like to conduct Audit Prep for your employees, feel free to use these materials.

In this kit you will find:

For the Instructor:

- Mock Audit Interviews and Providing Constructive Feedback Guide
- Mock Audit Sample Agendas Guide
- Agenda & Emails Guide
- Communication Observation Forms Guide
- Workbook Instructor’s Guide

For the Participant:

- Participant’s Workbook
Before the Mock Audit Interview

- Identify who should attend the Mock Audit Interview Session. Identify SMEs and those who should take the role of the Auditor(s) and Communication Observer(s).
- Determine how much time is needed for each subject matter expert to answer questions. This could be an hour up to several hours depending on content.
- Make sure attendees have attended the Subject Matter Expert Communication Training.
- Schedule the Interview(s) and secure a facility.
- Prepare several audit question in advance that you plan to ask the SME’s.
- Prepare any materials the SME may need to review before attending the Interview.
- Send out any materials SME’s should review before the Interview.
- Make copies of the Communication Observation Forms and any other documentations needed for the session.

At the Mock Audit Interview

- Introduce everyone in the room, why they are there, and what role they will be taking on during the Interview.
- Explain the goals of the Interview.
- Set the expectation of what you want to gain from the Interview.
- Review the process with the participants. Will you save feedback for the end? Or, take some “time outs” to stop and provide feedback instantaneously? How will you address questions the SME might have? What about documentation questions?
- Review the observation form with the SME’s so they are aware of what is being observed.
- The mock auditor will ask questions of the SMEs and the communication observer will take notes on the observation form in regards to what was done well and what needs improvement.
- The mock auditor and the communication observer will provide feedback at designated times in regards to what was done well and what needs improvement.
- Time should be left in the session to address questions pertaining to the actual audit. Participants may have questions about logistics or audit content.

Providing Constructive Feedback

- The Feedback Sandwich - The feedback sandwich is a constructive way of delivering negative feedback. You simply sandwich the negative between two positives.
- The Open Face Sandwich - The open-faced sandwich is a modified version of the Feedback Sandwich. In it, you give the person some praise, give the feedback, and then give constructive suggestions on modifying the behavior, language or communication skill.

Debrief the Interview Session

- Take advantage of the debriefing process to ask the participants about any negative feelings that came up during the mock audit interview.
- Ask for input from the participants about what happened during the exercise and about the value of the activity.

Keep in Mind

- People don’t like to be surprised. Attendees will be more receptive to feedback if they know what to expect before the activity begins and that the feedback is for practice and continuous improvement.
- A mock audit may upset people, make them feel criticized, or that the issues uncovered could be held against them. Watch for body language that may support these feelings. Reiterate the purpose and goals of the practice interview.
- Make sure everyone understands that the results of the interview will not affect anyone’s job; otherwise, future mock audits will lose effectiveness due to employee fear.
Mock Audit Sample Agendas

Sample Communication Training Agenda

Audit Prep Communication Training Agenda
Monday, January 27th, 2014
8:30 am-10:00 a.m.
Conference Room

8:30-8:45 Welcome and Introduction with Ice Breaker
9:45-9:05 Types of Information and Communication
9:05-9:30 Para and Non-Verbal Communications
9:30-9:45 Listening Skills
9:45-10:00 Questions/Discussion

Sample Audit Workshop Training Agenda

Audit Prep Workshop Agenda
Monday, January 27th, 2014
1:00 pm-5:00 pm
Conference Room

1:00-1:30 Welcome and Overview of Workshop Objectives
1:30-3:00 TPL-003-0A,R3
3:00-4:30 TPL-004-0,R2
4:30-5:00 Coaching session for feedback on soft skills and content

Sample Combined Training Agenda

Audit Prep & Communication Training Agenda
Monday, January 27th, 2014
8:30 am-4:30 pm
Conference Room

8:30-9:00 Welcome and Introduction with Ice Breaker
9:00-11:00 Communication Training
11:00-11:30 Overview of Afternoon Mock Audit Sessions
11:30-12:30 Lunch
12:30-2:00 TPL-003-0a,R3
2:00-3:30 TPL-004-0,R2
3:30-4:30 Questions/Discussion
Sample E-Mail to Participants

Dear Mock Audit Participant:

Attached please find the agenda and relevant materials for your upcoming audit workshop session. This material is pertinent to your scope of work and will most likely be the content auditors will cover in the actual audit. Please review this content and be prepared to answer questions in the workshop environment.

This workshop is designed to prepare you for the actual audit so you will feel comfortable and confident answering their inquiries! We will conduct this as if it were an actual audit session and provide feedback on both your answers to questions and your verbal and non-verbal communication skills.

If you have any questions regarding this workshop please contact, Jane Doe, at ext. 1234.

Sincerely,

Jane Doe

Sample E-Mail to Auditors and Communication Observers

Dear Auditors and Observers:

The upcoming workshop is designed to prepare participants for an actual audit so they will be confident and comfortable answering any inquiry. Please have your questions ready for the scheduled content and please also review the attached Communication Observation Form to be aware of the communication skills we would like to see during the audit. You will want to be observant of not only the content of the answers, but also their communication skills so you can give effective feedback to the participants. Feedback should support the objective of helping our subject matter experts be as knowledgeable, confident and prepared as possible.

If you have any questions regarding your role in the audit workshop please contact Jane Doe at ext. 1234.

Sincerely,

Jane Doe
<table>
<thead>
<tr>
<th>Name</th>
<th>Excellent</th>
<th>Good</th>
<th>Satisfactory</th>
<th>Needs Improvement</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Confident Appearance</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Personal organization</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Prepared</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Knowledgeable about topic</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Anticipate questions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Be conscious of your body language</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Established Credibility</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Dressed appropriately</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Showed confidence</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Pronounced all words correctly</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Provided evidence to support what was said</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Verbal</strong></td>
<td>Volume: Easily heard; changes reflect emotions</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rate: Easy to follow; uses pacing to emphasize important information</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vocal Variety: Conversational quality, pitch</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Verbal filler words: (Uhs, Ums, Likes) are at a minimum. Flow of the speech is not interrupted</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Tone: created a positive, authoritative tone</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Answered Questions Appropriately</strong></td>
<td>Thought about the purpose of the question and the answer before you ask it</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Kept it simple – just ask it</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Asked and answered one question at a time</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Used Wait Times</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Used appropriate nonverbal communication</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Language and Listening</strong></td>
<td>• Listened for frame of reference</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>• Listen closely and attentively</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Listen on Purpose: Listened for Question types and responded appropriately</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Clarification techniques: Repeated and rephrased questions</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Non-Verbal Communication</strong></td>
<td>Eye contact: Maintained solid eye contact</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Gestures appropriate to conversation. Not distracting. Posture is strong. Facial gestures support mood. Nervous habits are not present. Pleasant disposition.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Comments:*
Audit Prep Communication Overview

2015 Instructor Workbook
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Before The Training

- Identify who should attend the training.
- Determine the time and dates available for the training.
- Determine if you will show the training video or deliver the training yourself.
- Schedule a room for the session and invite attendees.
- Order refreshments (Optional)
- Send confirmations to participants.
- If you plan to deliver the training yourself, print and review the Instructor’s Guide until you are familiar with the materials.
- Prepare the training materials:
  - Print participant workbooks
  - Set up and test computer/AV equipment/slide advancer
  - Have a timer or watch available to keep everything on track.
  - Name tent cards or name tags
  - Markers/toys/candy

Just Prior to Training

- Arrive early to set up your room. (laptop, projector, internet connection, PowerPoint)
Housekeeping Items
Take a few moments to cover basic housekeeping items.

- If you need an opening or a way to introduce the participants to each other, use an ice breaker to begin or between breaks to re-energize your audience during the day.
- Let participants know where they can find washrooms, break facilities, and fire exits.
- Ask participants to turn off their cell phones or at least turn them to vibrate. If they must take a call, request they do it outside.
- Take this time to encourage the group to ask questions and make this an interactive workshop.
- Write the words Respect, Confidentiality, and Practice on a piece of flip chart paper and tape it to the wall. Explain to participants that in order to get the most out of this workshop, we must all work together, listen to each other, explore new ideas, and make mistakes. After all, that’s how we learn!

The Parking Lot
Explain the concept of The Parking Lot to participants.

- The Parking Lot is a visible place where you will “park” ideas that arise which are not on the agenda, may be off topic, or are better addressed outside of the program.
- At the end of the session, we will review parked ideas and follow up, or make suggestions for your own investigation when you are back at work.

Suggestions for the trainer:

- If you are working with a large group of participants, you may wish to nominate a recorder to park items as you are facilitating.
- It’s a good idea to note the name of the contributor along with the parked item.
- Items noted on the parking lot can be useful to you later as you plan future training sessions.

“Ask, Say Do”:

- Throughout this instructor guide, you will find answers to the exercises in red. If the instructor should ask, say or do something, those instructions are also in red and highlighted.
“Sharpen the Saw”

Welcome to the SPP Audit Overview workshop. For the better part of every day, we are communicating to and with others. Whether it’s the presentation you make for work, the level of attention you give your spouse when they are talking to you, or the look that you give to the dog, it all means something. This workshop will help participants understand the different types of information and the impact verbal and non-verbal communication have in the specific setting of business audits.

Workshop Objectives

Research has consistently demonstrated that when clear goals are associated with learning the learning occurs more easily and rapidly. With that in mind, let’s review our goals for today.

By the end of this workshop, you will be able to:

- Understand the different types of information
- Identify ways that communication can happen
- Develop non-verbal and para-verbal communication skills
- Listen actively and effectively
- Ask good questions

ASK: Is there anything else you would like for me to cover? Record all responses.
Information

When we say the word, “information,” what do you think of? Many people might think of facts, but this is not necessarily the case. There are many different types of information and understanding these differences is paramount for considering information given and received in an audit setting.

In this section, we will explore the different types of information and how they impact our communication.

Understanding Types of Information

Say: Fill in definitions for the following and then let's discuss.

- Assumption: A thing that is accepted as true or as certain to happen, without proof.
- Concept: An abstract idea; a general notion.
- Fact: Something that truly exists or happens; a true piece of information
- Opinion: A belief, judgment, or way of thinking about something; what someone thinks about a particular thing.
- Opinionated Fact: A strong opinion based loosely on fact.
- Procedure: A series of actions that are done in a certain way or order.
- Process: A series of actions that produce something or that lead to a particular result.
- Principle: A basic truth or theory; an idea that forms the basis of something.

Say: You want to be sure of the type of information the auditor is asking you for, prior to answering. Some of these have very minor differences, so if you are in doubt ask them to re-phrase the question for clarification.
Types of Information – Exercise

Do: Have the participants take a few minutes and write down what types of statements are written below.

1. The computer system is too hard to learn.
   - Opinion

2. Only 45 fish died.
   - Opinionated Fact

3. The restaurant garden space is 1/5 of an acre.
   - Fact

4. The substance is red.
   - Concept

5. A new computer system is too expensive to implement.
   - Assumption

6. To wash your hands, first wet your hands, then add soap, rub your hands to lather the soap, and rinse off the soap.
   - Procedure

7. The water cycle includes the evaporation of water, the condensation of water vapor into clouds, rain, and water flowing in streams and rivers back to lakes and seas.
   - Process

8. Gravity causes dropped objects to always fall to the ground.
   - Principle
Ways of Communicating:

We communicate in three major ways:

- **Spoken:** There are two components to spoken communication.
  - Verbal: This is what you are saying.
  - Para-verbal: This is how you say it – your tone, speed, pitch, and volume.

- **Non-Verbal:** These are the gestures and body language that accompany your words. Some examples: arms folded across your chest, tracing circles in the air, tapping your feet, or having a hunched-over posture.

- **Written:** Communication can also take place via fax, e-mail, or written word. Auditors may request information prior to the audit or after the audit so be ready!

---

**Action:** Have participants guess which part and percentage of the pie chart is Verbal? Vocal? Visual?

---

*Many attempts to communicate are nullified by saying too much.*

*Robert Greenleaf*
Avoid Verbal Pitfalls

When it comes to your delivery be sure and avoid things like apologizing for yourself and using opinion statements such as “I think/feel/believe”. Use facts and statistics to support your material. Above all, be confident!

Watch out for filler words too! Keep your narrative short and to the point!

Para-verbal Communication Skills

Action: Have three different participants read a line while emphasizing the underlined word. Have participants record in their workbook what the sentence implies and how the emphasis on different words change the whole meaning of the sentence.

Have you ever heard the saying, “It’s not what you say, it’s how you say it”? It’s true! Look at these examples:

- “I didn’t say you were wrong.” (Implying it wasn’t me)
- “I didn’t say you were wrong.” (Implying I communicated it in another way)
- “I didn’t say you were wrong.” (Implying I said something else)

Now, let's look at the three parts of para-verbal communication; which is the message told through the pitch, tone, and speed of our words when we communicate.

The Power of Pitch

Pitch is most simply defined as the key of your voice. A high pitch is often interpreted as anxious or upset. A low pitch sounds more serious and authoritative. People will pick up on the pitch of your voice and react to it. As well, variation in the pitch of your voice is important to keep the other party interested.
If you naturally speak in a very high-pitched or low-pitched voice, work on varying your pitch to encompass all ranges of your vocal cords. (One easy way to do this is to relax your throat when speaking.) Make sure to pay attention to your body when doing this – you don’t want to damage your vocal cords.

The Truth about Tone

Did your mother ever say to you, “I don’t like that tone!” She was referring to the combination of various pitches to create a mood. Here are some tips on creating a positive, authoritative tone.

- Try lowering the pitch of your voice a bit.
- Smile! This will warm up anyone’s voice.
- Sit up straight and listen.
- Monitor your inner monologue. Negative thinking will seep into the tone of your voice.

The Strength of Speed

The pace at which you speak also has a tremendous effect on your communication ability. From a practical perspective, someone who speaks quickly is harder to understand than someone who speaks at a moderate pace. Conversely, someone who speaks v---e---r---y s---l-----o---w---l---y will probably lose their audience’s interest before they get very far.

Speed also has an effect on the tone and emotional quality of your message. A hurried pace can make the listener feel anxious and rushed. A slow pace can make the listener feel as though your message is not important. A moderate pace will seem natural, and will help the listener focus on your message.
Non-Verbal Communication

When you are communicating, your body is sending a message that is as powerful as your words.

In our following discussions, remember our interpretations are just that—common interpretations. (For example, the person sitting with his or her legs crossed may simply be more comfortable that way, and not feeling closed-minded towards the discussion.) Body language can also mean different things across different genders and cultures. However, it is good to understand how various behaviors are often seen, so we can make sure our body is sending the same message as our mouth.

Think about these scenarios for a moment. What non-verbal messages might you receive in each scenario? How might these non-verbal messages affect the verbal message?

**Action:** Have participants use the space in their workbooks to record the possible meanings of the indicated body language.

1. The auditor asks you to explain your procedure for a particular process. He looks stern and his arms are crossed. **Possible answer:** They have already made up their mind.

2. A team member tells you they have bad news, but they are smiling as they say it. **Possible answer:** They are playing a joke on you.

3. You tell a co-worker that you cannot help them with a project. They say it’s OK, but they slam your office door on the way out. **Possible answer:** They are upset and were not truthful when they told you it was ok.

The primary goal of this section is to help you understand how to use body language to become a more effective communicator. Another goal, one which you will achieve with time and practice, is to be able to interpret body language, add it to the message you are receiving, and understand the message being sent appropriately. With this in mind, let’s look at the components of non-verbal communication.
All About Body Language

Body language is a very broad term that simply means the way in which our body speaks to others. We have included an overview of three major categories below; we will discuss a fourth category, gestures, in a moment.

The way that we are standing or sitting

Think for a moment about different types of posture and the message that they relay.

- Sitting hunched over typically indicates stress or discomfort.
- Leaning back when standing or sitting indicates a casual and relaxed demeanor.
- Standing ramrod straight typically indicates stiffness and anxiety.

The position of our arms, legs, feet, and hands

- Crossed arms and legs often indicate a closed mind.
- Fidgeting is usually a sign of boredom or nervousness.

Facial expressions

- Smiles and frowns speak a million words.
- A raised eyebrow can mean inquisitiveness, curiosity, or disbelief.

Chewing one’s lips can indicate thinking, or it can be a sign of boredom, anxiety, or nervousness.

Interpreting Gestures

A gesture is a non-verbal message that is made with a specific part of the body. Gestures differ greatly from region to region, and from culture to culture. Below we have included a brief list of gestures and their common interpretation in North America.

<table>
<thead>
<tr>
<th>Gesture</th>
<th>Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nodding head</td>
<td>Yes</td>
</tr>
<tr>
<td>Shaking head</td>
<td>No</td>
</tr>
<tr>
<td>GESTURE</td>
<td>INTERPRETATION</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>---------------------------------------</td>
</tr>
<tr>
<td>Moving head from side to side</td>
<td>Maybe</td>
</tr>
<tr>
<td>Shrugging shoulders</td>
<td>Not sure; I don’t know</td>
</tr>
<tr>
<td>Crossed arms</td>
<td>Defensive</td>
</tr>
<tr>
<td>Tapping hands or fingers</td>
<td>Bored, anxious, nervous</td>
</tr>
<tr>
<td>Shaking index finger</td>
<td>Angry</td>
</tr>
<tr>
<td>Thumbs up</td>
<td>Agreement, OK</td>
</tr>
<tr>
<td>Thumbs down</td>
<td>Disagreement, not OK</td>
</tr>
<tr>
<td>Pointing index finger at someone/something</td>
<td>Indicating, blaming</td>
</tr>
<tr>
<td>Pointing middle finger (vertically)</td>
<td>Vulgar expression</td>
</tr>
<tr>
<td>Handshake</td>
<td>Welcome, introduction</td>
</tr>
<tr>
<td>Flap of the hand</td>
<td>Doesn’t matter, go ahead</td>
</tr>
<tr>
<td>Waving hand</td>
<td>Hello</td>
</tr>
<tr>
<td>Waving both hands over head</td>
<td>Help, attention</td>
</tr>
<tr>
<td>Crossed legs or ankles</td>
<td>Defensive</td>
</tr>
<tr>
<td>Tapping toes or feet</td>
<td>Bored, anxious, nervous</td>
</tr>
</tbody>
</table>

Ask: What do the below suggest? Record your answers in your workbook.
Listening Skills

So far, we have discussed all the components of sending a message: non-verbal, para-verbal, and verbal. Now, let’s turn the tables and look at how to effectively receive messages.

Ways to Listen Better

Hearing is easy! For most of us, our body does the work by interpreting the sounds that we hear into words. Listening, however, is far more difficult. Listening is the process of looking at the words and the other factors around the words (such as our non-verbal communication), and then interpreting the entire message.

Let’s start out slowly. Here are several things you can do to start becoming a better listener right now.

1. When you’re listening, listen.

2. Avoid interruptions.

3. Aim to spend at least 90% of your time listening and less than 10% of your time talking.

4. When you do talk, make sure it’s related to what the other person is saying. Questions to clarify, expand, and probe for more information will be key tools.

5. Make sure the physical environment is conducive to listening. Try to reduce noise and distractions. If possible, be seated comfortably. Be close enough to the person so that you can hear them, but not too close to make them uncomfortable.

Say: Sometimes to be a better listener the first step is becoming self-aware! This is actually true with all communication or interpersonal skills. You have to be aware of your own traits so you know what to adjust for improvement.
Listen on Purpose and Ask Good Questions

Good questioning skills are another building block of successful communication. They can help you gather information, clarify facts, and communicate with others. There are many different types of questions that you or the auditor may use to probe, clarify, determine relevance, etc... These different question types are especially important in this setting. Listen on purpose to determine whether the auditor is asking for knowledge, about a process, or are they actually asking about your opinion or behavior to a situation or procedure? Use the following to assess before answering.

**CLARIFICATION**

By probing for clarification, you invite the other person to share more information so that you can fully understand their message.

**COMPLETENESS AND CORRECTNESS**

These types of questions can help you ensure you have the full purpose of the question. Having all the facts, in turn, can protect you from assuming and jumping to conclusions – two fatal barriers to communication.

**DETERMINING RELEVANCE**

This category will help you determine how or if a particular point is related to the conversation at hand. It can also help you get the speaker back on track from a tangent.

**DRILLING DOWN**

Use these types of questions to nail down vague statements. Useful helpers include:

- “Can you give me an example?”
- “Could you please give me more information?”
- “Please re-phrase the question?”

_Say: What are some examples of other good questions for gathering more information?_
**SUMMARIZING**

These questions are framed more like a statement. They pull together all the relevant points. They can be used to confirm to the listener that you heard what was said, and to give them an opportunity to correct any misunderstandings.

Say: This method can be used in two ways; first you could summarize to make sure you understand what the auditor is asking, or you could ask them to clarify by summarizing the inquiry again.

**OPEN AND CLOSED ENDED QUESTIONS:**

Make sure you listen carefully to the question and think about the purpose before you answer. Sometimes as Subject Matter Experts you may find you want to tell more about your work than what was asked! Is it a “yes” or “no” answered question or do they want more detail?

Say: Were you asked a yes or no question? If so, stop with that! Don’t offer more information that could lead the auditor down a rabbit hole.

**Exercise- Answer? Rephrase? Or Clarify?**

Say: Take a moment and decide if you should answer, rephrase or ask for clarification on the following.

1. Can you provide me a walk-through of your process?  Ask for clarification
2. How does your process support the standard? Answer
3. Your processes are close to compliant, wouldn’t you say? Ask them to rephrase
4. In your opinion, are your department’s processes adequate? Ask them to rephrase
5. Do all your processes support the standards? This is a closed ended question – Answer “Yes”. This will prompt them to ask another question if they are looking for your opinion or other information.

---

The important thing is not to stop questioning. Curiosity has its own reason for existing.

*Albert Einstein*
Prepare, Prepare, Prepare!

It sounds very elementary, but in order to be prepared mentally you should do the following:

The Night Before:

- Review your evidence
- Get a good night’s sleep
- Don’t overeat before bedtime
- Don’t drink alcohol the night before
- Visualize your success

The Day Of:

- Eat Breakfast
- Give yourself plenty of time so you don’t have to rush
- Practice Stress Relieving Techniques
  - Tense and relax, deep breathing and stretches, music, etc....
- Be confident
  - You are the subject matter expert!
- Establish Credibility

The important thing is not to stop questioning. Curiosity has its own reason for existing.

Albert Einstein
Questions, Summarize and Call to Action

Ask, Say or Do:
1. Ask for any questions.
2. Go over any parking lot issues that should be addressed prior to session close.
3. Review the objectives that were met for the session.
4. Have participants’ record techniques they will work on in the Notes section of Page 14.

Ice Breakers

Using an Icebreaker can help participants feel at ease before the class begins and helps them in meeting others in the training. Here are several Ice Breakers you could use before you begin your session.

1. Clear Your Mind

PURPOSE

In order to make the most of this workshop, students should come in with a fresh mind. This activity will help participants clear their heads and it will give them a stress management tool that they can use in the future.

MATERIALS REQUIRED

- Plenty of scrap paper, stacked in the middle of each table
- Pens or pencils
- Small basket, also placed in the middle of the table
- Small prizes, if desired
**ACTIVITY**

Explain to participants that this activity is completely confidential: no one will see the results of the activity.

Ask participants to take a stack of scrap paper. On each sheet, they are to write one thing that is on their mind (positive or negative). Once they have written down the item, they can scrunch up the piece of paper and toss it in the basket. If you like, you can give participants a small prize for each item that they get rid of.

Explain that since stress is individual, some people will have many items and some will only have a few. That’s OK! However, encourage participants to write down at least one item.

**DEBRIEF**

After about five minutes, discuss the activity.

- How did the activity feel at the beginning? (Some people find the activity embarrassing or silly at the beginning.)

- How did you feel by the end? (Some participants, particularly tactile learners, find this activity immensely stress-relieving.)

- How could you use this technique to manage stress in your life? (Encourage participants to try this activity the next time are having a hard time concentrating, or if they feel overwhelmed.)

- Are we ready to start learning?

2. **Hello, My Name Is...**

**Option 1:**

**Method:** Perhaps the easiest, most obvious and often overlooked icebreaker.

Ask each member of the training event to introduce themselves by saying *Hello – My Name Is...*

Then encourage the rest of the group to ask the trainee questions. To illustrate,

- Where do you live?
- What is your job?
- Where did you go to school?
  etc...

This exercise also encourages questioning and listening skills within the group.
Discussion Questions
1. Did anyone feel uncomfortable doing this exercise? Is so, why?
   
2. How can this exercise help us during today’s training event?

Time: Maximum time 15 minutes

Option 2:
1. Have the participants at each table answer the following questions:
   
   a. Why are they here?
   
   b. What is their level of experience with knowledge management?
   
   c. What they hope to get from this class?
   
   d. What is the most interesting thing they have ever done in their lives?
   
2. Have someone be designated a scribe and have them jot down the answers to question C above.

3. On a separate piece of paper, have them write down the most interesting thing done from only one table member.

4. Have the scribe hand the note with the answers to question C to you.

5. Have the scribe stand and introduce the table to the class.

6. Then have the scribe share the most interesting thing from their group.

7. Have the class guess whom that person is, which did the most experiencing thing.

8. Go around to each table until all have given you their answers to question C and shared their most interesting thing.

9. Debrief by sharing all the answers to question C with the class.

Thank participants for sharing.
3. On the Spot

**PURPOSE**
- To help participants get to know each other.
- To give participants some practice with communication.

**MATERIALS REQUIRED**

Ball or soft toy

**PREPARATION**

Have participants stand in a circle. If you have more than 20 participants, divide the group into two or more.

**ACTIVITY**

Explain that this exercise is all about getting to know each other. You as the instructor will start by tossing the ball to someone and asking them a question. They will answer the question and then toss the ball to someone else, and ask a different question. (If participants are not familiar with each other, they may want to state their name, too.)

After the game has been going for about a minute, challenge participants to repeat a fact about another participant before they ask someone else a question.

If someone is not comfortable answering a question, they may pass.
Audit Prep Communication Overview

2015

Participant Workbook
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“Sharpen the Saw”

Welcome to the Audit Prep Communication Workshop. For the better part of every day, we are communicating to and with others. Whether it’s the presentation you make for work, the level of attention you give your spouse when they are talking to you, or the look you give to the dog, it all means something. This workshop will help participants understand the different types of information and the impact verbal and non-verbal communication have in the specific setting of business audits.

Workshop Objectives

Research has consistently demonstrated that when clear goals are associated with learning, the learning occurs more easily and rapidly. With that in mind, let’s review our goals for today.

By the end of this workshop, you will be able to:

- Understand the different types of information
- Identify ways that communication can happen
- Develop non-verbal and para-verbal communication skills
- Listen actively and effectively
- Ask good questions
Information

When we say the word, “information”, what do you think of? Many people might think of facts, but this is not necessarily the case. There are many different types of information and understanding these differences is paramount for considering information to be given and received in an audit setting.

In this section, we will explore the different types of information and how they impact our communication.

Understanding Types of Information

- Assumption
- Concept
- Fact
- Opinion
- Opinionated Fact
- Procedure
- Process
- Principle
Types of Information – Exercise

1. The computer system is too hard to learn.
   __________________________

2. Only 45 fish died.
   __________________________

3. The restaurant garden space is 1/5 of an acre.
   __________________________

4. The substance is red.
   __________________________

5. A new computer system is too expensive to implement.
   __________________________

6. To wash your hands, first wet your hands, then add soap, rub your hands to lather the soap, and rinse off the soap.
   __________________________

7. The water cycle includes the evaporation of water, the condensation of water vapor into clouds, rain, and water flowing in streams and rivers back to lakes and seas.
   __________________________

8. Gravity causes dropped objects to always fall to the ground.
   __________________________
Ways of Communicating:

We communicate in three major ways:

- Spoken: There are two components to spoken communication.
  - Verbal: This is what you are saying.
  - Para-verbal: This is how you say it – your tone, speed, pitch, and volume.

- Non-Verbal: These are the gestures and body language that accompany your words. Some examples: arms folded across your chest, tracing circles in the air, tapping your feet, or having a hunched-over posture.

- Written: Communication can also take place via fax, e-mail, or written word. Auditors may request information prior to or after the audit so be ready!

Many attempts to communicate are nullified by saying too much.

-Robert Greenleaf
Avoid Verbal Pitfalls

When it comes to your delivery be sure and avoid things like apologizing for yourself and using opinion statements such as “I think/feel/believe”. Use facts and statistics to support your material. Above all, be confident!

Watch out for filler words. Keep your narrative short and to the point!

Notes

Para-verbal Communication Skills

Have you ever heard the saying, “It’s not what you say, it’s how you say it”? It’s true! Listen to these examples and identify the implication of each:

- “I didn’t say you were wrong.”
- “I didn’t say you were wrong.”
- “I didn’t say you were wrong.”

Notes

Now, let’s look at the three parts of para-verbal communication; which is the message told through the pitch, tone, and speed of our words when we communicate.
The Power of Pitch

Pitch is most simply defined as the key of your voice. A high pitch is often interpreted as anxious or upset. A low pitch sounds more serious and authoritative. People will pick up on the pitch of your voice and react to it. As well, variation in the pitch of your voice is important to keep the other party interested.

If you naturally speak in a very high-pitched or low-pitched voice, work on varying your pitch to encompass all ranges of your vocal cords. (One easy way to do this is to relax your throat when speaking.) Make sure to pay attention to your body when doing this – you don’t want to damage your vocal cords.

The Truth about Tone

Did your mother ever say to you, *I don’t like that tone?* She was referring to the combination of various pitches that create or reflect a mood. Here are some tips on creating a positive, authoritative tone.

- Try lowering the pitch of your voice a bit.
- Smile! This will warm up anyone’s voice.
- Sit up straight and listen.
- Monitor your inner monologue. Negative thinking will seep into the tone of your voice.

The Strength of Speed

The pace at which you speak also has a tremendous effect on your communication ability. From a practical perspective, someone who speaks quickly is harder to understand than someone who speaks at a moderate pace. Conversely, someone who speaks very slowly will probably lose their audience’s interest before they get very far.

Speed also has an effect on the tone and emotional quality of your message. A hurried pace can make the listener feel anxious and rushed. A slow pace can make the listener feel as though your message is not important. A moderate pace will seem natural, and will help the listener focus on your message.
Non-Verbal Communication

When you are communicating, your body is sending a message that is as powerful as your words.

In our following discussions, remember our interpretations are just that – common interpretations. (For example, the person sitting with his or her legs crossed may simply be more comfortable that way, and not feeling closed-minded towards the discussion.) Body language can also mean different things across different genders and cultures. However, it is good to understand how various behaviors are often seen, so we can make sure our body is sending the same message as our mouth.

Think about these scenarios for a moment. What non-verbal messages might you receive in each scenario? How might these non-verbal messages affect the verbal message?

- The auditor asks you to explain your procedure for a particular process. He looks stern and his arms are crossed.

- A team member tells you they have bad news, but they are smiling as they say it.

- You tell a co-worker you cannot help them with a project. They say it’s OK, but they slam your office door on their way out.

The primary goal of this section is to help you understand how to use body language to become a more effective communicator. Another goal, one which becomes easier with time and practice, is to be able to interpret body language, add it to the message you are receiving, and understand the message being sent appropriately. With this in mind, let’s look at the components of non-verbal communication.
All About Body Language

Body language is a very broad term that simply means the way in which our body speaks to others. We have included an overview of three major categories below; we will discuss a fourth category, gestures, in a moment.

Posture

Think for a moment about different types of posture and the message they relay.

- Sitting hunched over typically indicates stress or discomfort.
- Leaning back when standing or sitting indicates a casual and relaxed demeanor.
- Standing ramrod straight typically indicates stiffness and anxiety.

The Position of Our Arms, Legs, Feet, and Hands

- Crossed arms and legs often indicate a closed mind.
- Fidgeting is usually a sign of boredom or nervousness.

Facial Expressions

- Smiles and frowns speak a million words.
- A raised eyebrow can mean inquisitiveness, curiosity, or disbelief.
- Chewing one’s lips can indicate thinking, or it can be a sign of boredom, anxiety, or nervousness.

Interpreting Gestures

A gesture is a non-verbal message that is made with a specific part of the body. Gestures differ greatly from region to region, and from culture to culture. Below we have included a brief list of gestures and their common interpretation in North America.

<table>
<thead>
<tr>
<th>Gesture</th>
<th>Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nodding head</td>
<td>Yes</td>
</tr>
<tr>
<td>Shaking head</td>
<td>No</td>
</tr>
<tr>
<td>Moving head from side to side</td>
<td>Maybe</td>
</tr>
<tr>
<td>GESTURE</td>
<td>INTERPRETATION</td>
</tr>
<tr>
<td>--------------------------------------------------------</td>
<td>-------------------------------------</td>
</tr>
<tr>
<td>Shrugging shoulders</td>
<td>Not sure; I don’t know</td>
</tr>
<tr>
<td>Crossed arms</td>
<td>Defensive</td>
</tr>
<tr>
<td>Tapping hands or fingers</td>
<td>Bored, anxious, nervous</td>
</tr>
<tr>
<td>Shaking index finger</td>
<td>Angry</td>
</tr>
<tr>
<td>Thumbs up</td>
<td>Agreement, OK</td>
</tr>
<tr>
<td>Thumbs down</td>
<td>Disagreement, not OK</td>
</tr>
<tr>
<td>Pointing index finger at someone/something</td>
<td>Indicating, blaming</td>
</tr>
<tr>
<td>Pointing middle finger (vertically)</td>
<td>Vulgar expression!</td>
</tr>
<tr>
<td>Handshake</td>
<td>Welcome, introduction</td>
</tr>
<tr>
<td>Flap of the hand</td>
<td>Doesn’t matter, go ahead</td>
</tr>
<tr>
<td>Waving hand</td>
<td>Hello</td>
</tr>
<tr>
<td>Waving both hands over head</td>
<td>Help, attention</td>
</tr>
<tr>
<td>Crossed legs or ankles</td>
<td>Defensive</td>
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<td>Tapping toes or feet</td>
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</tr>
</tbody>
</table>

What do you think the below gestures signify?

____________________________  ______________________  ______________________
Listening Skills

So far, we have discussed all the components of sending a message: non-verbal, para-verbal, and verbal. Now, let’s turn the tables and look at how to effectively receive messages.

Ways to Listen Better

Hearing is easy! For most of us, our body does the work by interpreting the sounds we hear into words. Listening, however, is far more difficult. Listening is the process of looking at the words and the other factors around the words (such as our non-verbal communication), and then interpreting the entire message.

Let’s start out slowly. Here are several things you can do to start becoming a better listener right now.

1. When you’re listening, listen.
2. Avoid interruptions.
3. Aim to spend at least 90% of your time listening and less than 10% of your time talking.
4. When you do talk, make sure it’s related to what the other person is saying. Questions to clarify, expand, and probe for more information will be key tools.
5. Make sure the physical environment is conducive to listening. Try to reduce noise and distractions. If possible, be seated comfortably. Be close enough to the person so that you can hear them, but not too close to make them uncomfortable.
Listen on Purpose and Ask Good Questions

Good questioning skills are another building block of successful communication. They can help you gather information, clarify facts, and communicate with others. There are many different types of questions that you or the auditor may use to probe, clarify, determine relevance, etc... These different question types are especially important in this setting. Listen on purpose to determine whether the auditor is asking for knowledge, about a process, or are they actually asking about your opinion or behavior to a situation or procedure? Use the following to assess before answering.

**CLARIFICATION**

By probing for clarification, you invite the other person to share more information so that you can fully understand their message.

**COMPLETENESS AND CORRECTNESS**

These types of questions can help you ensure you have the full purpose of the question. Having all the facts, in turn, can protect you from assuming and jumping to conclusions – two fatal barriers to communication.

**DETERMINING RELEVANCE**

This category will help you determine how or if a particular point is related to the conversation at hand. It can also help you get the speaker back on track from a tangent.

**DRILLING DOWN**

Use these types of questions to nail down vague statements. Useful helpers include:

- “Can you give me an example?”
- “Could you please give me more information?”
- “Please re-phrase the question?”

*We hear only those questions for which we are in a position to find answers.*

- Friedrich Nietzsche
**SUMMARIZING**

These questions are framed more like a statement. They pull together all the relevant points. They can be used to confirm to the listener that you heard what was said, and to give them an opportunity to correct any misunderstandings.

**OPEN AND CLOSED ENDED QUESTIONS:**

Make sure you listen carefully to the question and think about the purpose before you answer. Sometimes as Subject Matter Experts you may find you want to tell more about your work than what was asked! Is it a “yes” or “no” answered question or do they want more detail?

Still Not Sure? Exercise – Answer, Rephrase or Clarify?

1. Can you provide me a walk-through of your process? ______________________

2. How does your process support the standard? ______________________

3. Your processes are close to compliant, wouldn’t you say? __________________

4. In your opinion, are your department’s processes adequate? ________________

5. Do all your processes support the standards? ____________________________
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