



Crucial Communications: Skills When the Stakes are High



Danny M. Goldberg
Partner, Professional Development

INTRODUCTION



Danny M. Goldberg



- Partner, Professional Development ()
- Lead Professional Development and Executive Recruiting Practices Nationally for Sunera
- Founding Partner, SOFT GRC ()
 - Sold to Sunera January 2011
- Former Director of Corporate Audit/SOX at Dr Pepper Snapple Group
- Former CAE - Tyler Technologies
- Published Author (Book/Articles)
- Texas A&M University – 97/98
- CPA – Since 2000
- CIA – Since 2008
- CISA – Since 2008
- CGEIT (Certification in the Governance of Enterprise IT) – Since 2009
- CRISC (Certification in Risk and Information Systems Control) – Since 2011
- CRMA (Certification in Risk Management Assurance) – Since 2011
- CCSA (Certification in Control Self-Assessment) – Since 2007
- CGMA (Chartered Global Management Accountant) – Since 2012



Danny M. Goldberg (cont.)

- Chairman of the Leadership Council of the American Lung Association - North Texas – 2012 CY
- Served on the Audit Committee of the Dallas Independent School District (CY 2008)
- Current Dallas IIA Programs Co-Chair (2011-2012 and 2012-2013)
- Former IIA Volunteer Instructor
- Published Author
 - *Bureau of National Affairs* - Internal Audit: Fundamental Principles and Best Practices
 - *ISACA Journal* (May 2012, August 2012)
 - *Internal Auditor* Articles (August 2007, December 2007, October 2010)
 - *ISACA Online* Article (December 2009)
 - *Audit Report Articles* (June 2010 Cover, March 2011, March 2012)
 - *New Perspectives* (December 2010)
 - *Dallas Business Journal* (January 2011) – The Yes Man Phenomenon

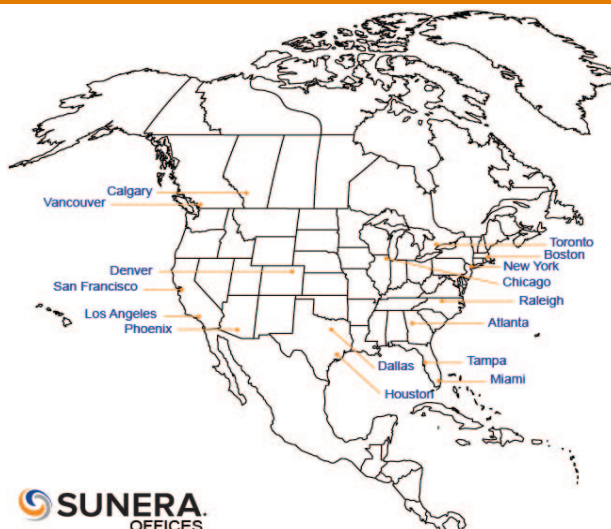


Danny M. Goldberg (cont.)

- Speaking publicly for 5 years
- Relationships with over 75 IIA/ISACA Chapters throughout the WORLD.
- **Ratings/Evaluations:**
 - **#8 out of 120 speakers – 2012 IIA International Conference**
 - “Top Rated” (Excellent/Outstanding) Speaker – 20th Annual American Society for Quality (ASQ) Audit Division Conference (out of 44 presenters)
 - Top 10 Presentation – 2011 IIA Midwest Regional (36 total concurrent sessions, 3.75 overall rating out of 4.0)
 - Top 3 Ranked Speaker – Michigan CPA’s Healthcare Conference 2011 (29 total speakers)
 - Top 3 Ranked Speaker – ArkSarBen IIA 2011 District Conference (24 total sessions)
 - 3.58/4.00 Rating – 2011 ACFE Annual North American Conference
 - 1 of 100 Presenters invited to present at the 2012 IIA International Conference



Sunera Offices



Sample Professional Development Association Clients

The collage features logos for the following organizations and chapters:

- IMA (The Institute of Internal Auditors) - Winnipeg Chapter, Fairview Texas, Miami, Chicago, San Gabriel Valley Chapter, Central Penn Chapter, Albuquerque Chapter, Granite State Chapter, Tucson Chapter, Topeka Chapter, Montgomery Chapter, Trinidad & Tobago Chapter, New Orleans Chapter, Western Michigan Chapter, Baltimore Chapter, Milwaukee Chapter.
- CFA (Texas Society of Certified Public Accountants)
- CPA (The El Paso Chapter, The Northern Virginia Chapter, The Baton Rouge Chapter, The Fox Valley / Central Wisconsin Chapter, The Arkansas Chapter, The Colorado Springs Chapter, The Central Arkansas Chapter)
- ASQ (The American Society for Quality)
- IBAAWP (International Bank Auditors Association of Western Michigan)
- FWIIA.ORG (The Fort Worth Chapter of the Institute of Internal Auditors)
- WINNIPEG CHAPTER
- THE TRIAD CHAPTER
- ACUA (Association of Credit Union Internal Auditors) - North Texas Chapter
- ISACA (Institute of Internal Auditors) - New York Metro Chapter, Research Triangle Chapter, Rhode Island Chapter, Baton Rouge Chapter, West Florida Chapter
- SUNERA








Regional/National Conferences - 2013

The collage features promotional materials for the following conferences:


- IMA INTERNATIONAL CONFERENCE**: Orlando, Florida, USA / July 14-17, 2013. Slogan: ONE WORLD, ONE PROFESSION, ONE DESTINATION.
- ACUA 23rd Annual Conference & One-Day Seminar**: June 25-28, 2013, San Francisco, California, Grand Hyatt San Francisco.
- NMIA CENTRAL REGIONAL CONFERENCE**: September 29 - October 2, 2013 / Columbus, OH. Slogan: Where Audit Ideas and Innovation Take Flight.
- 2013 ACUA ANNUAL CONFERENCE**: September 22-26, 2013, Norfolk Waterside Marriott, Norfolk, Virginia. Slogan: Come Aboard! We're Expecting You at the ACUA Annual Conference! SAVE THE DATE.
- BLUE RIBBON AUDITING: ADDING VALUE IN CHANGING TIMES**: 2013 Midwest District Conference, August 12th & 13th, 2013.

SUNERA logo is also present at the bottom right.


Sunera Snapshot

- ✓ **Professional consultancy** focused on regulatory compliance, internal audit, information technology & accounting advisory services
- ✓ Founded by former public accounting partners and professionals
- ✓ Delivered more than **1500 projects** to over **300 clients** across a broad spectrum of industries
- ✓ Employ **full-time professionals** in **twelve offices** across the United States and Canada
- ✓ **PCI** Qualified Security Assessor (**QSA**) & Approved Scanning Vendor (**ASV**)
- ✓ **Registered with NASBA** to offer **CPE's** for our **ACL** & Internal Audit training courses
- ✓ **Certified integration partner** for leading continuous controls monitoring solutions, including **ACL, Approva & SAP**



7 C's to Effective Communication





Clear/Coherent

- Focused
- No question about intention or objective
- Leave no doubt
- Eliminate irrelevance
- Embrace logic
- Straight forward
- Comprehensible



Which is more clear?

- Please take care of the assignment I emailed you a few weeks back regarding the memo on accounting.
- Brent, a few weeks back (May 12th) I emailed you concerning the accounting for our new acquisition (ABC Company). I wanted to check in and see the status of the memo. Please let me know at your earliest convenience.



Concise

- Minimize word usage but...
 - Do not spare words for the sake of being brief
- Use useful words, not space killers
- Do keep your audience engaged and interested



Complete/Correct

- Be thorough, paint a picture
- Beginning to end
- Get your point across
 - Introduce
 - Support
 - Reiterate
- Truthful
- Accurate
- Honest
- If you do not know, admit it!



Captivating

- Interesting
- Know when to dive into an area and know when you are giving too much detail
 - Subject matter must be flexible
- Command more attention and better responses
- Compelling language that encourages action
- Know your objective and consistently reiterate
- Well organized messages



Which is more captivating?

- Thank you for your presentation this morning; it was exciting, endearing and very engaging. I would like to follow up this presentation with a request for the presentation slides as I would like to pass them on to my superiors. Thank you so much.
- Thanks.

Question – Is the latter too concise?



Conversational

- Easy to follow and understand
- Speak with an audience, not to them
- Personalize the experience, make them connect



Courteous

- Professional demeanor
- Friendly
- Approachable
- Talk with not to



Concrete

- Specifics and certainty
- No ambiguity
- Direct and to the point



Miscommunication/
Confrontation



Miscommunication

- #1 cause of unnecessary conflict
 - Happens in many cases due to the mode of communication
 - Emotion/feelings are difficult to interpret via email, Blackberry, IM, etc.
- People always fear the worst outcome
 - “Hey, can we talk?”
- Assumptions take on a world of its own



Confrontation

- People inherently do not like confrontation
- Transparency and honesty can breed confrontation but that can be healthy confrontation
 - Lack of transparency and honesty breeds negative confrontation
- Caused in many cases by miscommunication
- Optimize your confrontations.....



Email Excellence

- Caution – Be Careful What You Send
- Best Practices
- Typical Bad Practices



Caution – Be Careful What You Send

Try to avoid:

- Making accusations of fraud or error via email
- Making personal attacks or derogatory comments about others
- Sending confidential, classified or personal identifiable information (like SS#'s, etc.) via email
- Blunt statements (I will respond to you at my earliest convenience)
- Emotional responses



Typical Bad Practices

- *Blank or non-descriptive subject lines*
- *Reply to all*
- *One-liners*
- *Address exposure*
- *BCC*



**I Think morale might
improve if you discontinued
the "loser of the week e-mail"**

SOURCE: emailtide.com

 **SUNERA.**

Misc. Email

- Keep relevant emails
 - Create and utilize folders (easy to find)
- Who do you CC and BCC?
 - CC relevant parties but watch over CCing; do they really need to be on the email string?
 - Use BCC sparingly
- Utilizing read receipts
 - Only use if you feel this is very necessary. Remember – recipient receives notice that read receipts are being utilized; not readily accepted in the workplace
- Personal emails
 - Nothing via email is personal – watch usage

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Listening Techniques



Listening Optimized (1 of 2)

- Ignore phone calls during the conversation and abstain from multitasking
- Look at the other person and focus on the words and meanings
 - Content and intent
- Avoid interruptions
- Resist jumping to conclusions
- Concentrate on the flow and back and forth of the conversation, rather than becoming hung up on bits of information or parts of past conversation
- Take on the responsibility of listening: being bored, not liking the speaker, or disagreeing with what he or she has to say does not excuse you from actively listening
- Consider body language and respond with both words and actions, taking into account your own body language and concern
- Restate key points to ensure accuracy and prevent potential misunderstandings



Listening is....

- A major part of communication
- A major factor in miscommunication
- A great asset when optimized



Verbal (1 of 2)

- Say what you mean and say it clearly
- 2 ears, 1 mouth
- Stay present
- Make eye contact
- Ask questions for clarification
- Acknowledge feelings
- Restate or paraphrase
- First understand, then be understood
- Give nonverbal feedback (details in coming slides)
- Silence
- Take ALL the information to heart (verbal & nonverbal)
- Get permission



In Person

- Depending on the study being quoted, we remember a dismal 25-50% of what we hear.
- Good communication skills require a high level of self-awareness. By understanding your personal style of communicating, you will go a long way towards creating good and lasting impressions with others.
- Become an active listener and eliminate bad habits!



Active Listening

- When the listener provides feedback (verbal and/or non-verbal) to the speaker demonstrating to that the speaker's message has been understood and will be retained



Verbal Active Listening Techniques (1 of 2)

- Using encouraging words and reassuring sounds to convey interest (“I see.”)
- Restating in your own words what the person said
- Repeating exactly what the person said (“Mirroring”)
- Reflecting to show you understand how they feel (“You were pretty upset by this...”)
- Probing the interviewee’s initial response in order to expand and/or clarify the information given (“Please tell me more about that”)
- Summarizing (“these seem to be the main ideas you stated”)



Non-Verbal Active Listening Techniques

- Maintaining appropriate eye contact with the interviewee
- Occasionally nodding affirmatively to display understanding and interest
- Using expectant pauses to indicate to the interviewee that more is expected



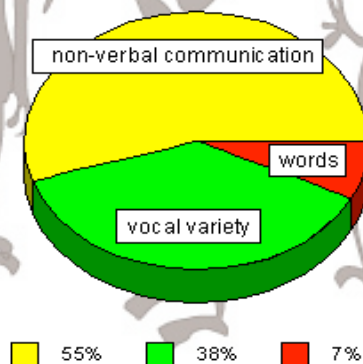
Barriers to Active Listening

- Not keeping an open mind by letting biases interfere
- Jumping to conclusions
- Interrupting or debating the interviewee: seek understanding first!
- Monopolizing the conversation (70/30 rule)
- Thinking ahead to your next question
- Reading documents provided by the presenter
- Not suppressing disruptive habits such as finger drumming or pencil tapping
- Assuming you know what the presenter meant and not requesting clarification



Non-Verbal Communication

Communication Skills



SPEAKS LOUDLY



Nonverbal Communication

- Is it possible to communicate without words?
Studies show that over half of your message is carried through nonverbal elements:
 - Your appearance
 - Your body language
 - The tone and
 - the pace of your voice.



Language of Gestures

- Body language and nonverbal communication are transmitted through the eyes, face, hands, arms, legs and posture (sitting and walking)
- Each individual, isolated gesture is like a word in sentence; it is difficult and isolated dangerous to interpret in and of itself.
- Therefore consider the gesture in the light of everything else that is going on around you.



Eyes

- Windows of the soul, excellent are indicators of feelings.
- Shifty eyes, beady eyes and look of steel demonstrate awareness.
- Honest person has a tendency to look you straight in the eye when speaking.
 - At least listeners accept it like that.
- People avoid eye contact with other person when an uncomfortable question asked.
- The raising of one eyebrow shows disbelief and two shows surprise.
- People are classified as right lookers and leftlookers. Right lookers are more influenced by logic and precision, left lookers are found to be more emotional, subjective and suggestible.



The Face

- The face is one of the most reliable indicators of a persons attitudes, emotions & feelings
- By analysing facial expressions, interpersonal attitudes can be discerned and feedback obtained.
- Some people try to hide their true emotions. The term Poker Face describes them.
- Common facial gestures are:
 - Frowns: unhappiness, anger
 - Smiles: happiness
 - Sneers: dislike, disgust
 - Clenched jaws: tension, anger
 - Pouting lips: sadness.



The Hands

- Tightly clenched hands usually indicate that the person is experiencing undue pressure.
 - It may be difficult to relate to this person because of his tension and disagreement.
- Superiority and authority are usually indicated when you are standing and joining your hands behind your back.
- Rubbing gently behind or beside the ear with the index finger or rubbing the eye usually means the other person is uncertain about what you are saying.
- Leaning back with both hands supporting the head usually indicates a feeling of confidence or superiority.
- Cupping one or both hands over the mouth, especially when talking, may well indicate that the person is trying to hide something
- Putting your hand to your cheek or stroking your chin generally portrays thinking, interest or consideration.



The Arms and Legs

- Crossed arms tend to signal defensiveness. They seemingly act as a protective guard against an anticipated attack or a fixed position which the other person would rather not move.
- Conversely, arms open and extended toward you generally indicate openness and acceptance.
- Crossed legs tend to seem disagreement.
- People who tightly cross their legs seem to be saying that they disagree with what you are saying or doing. If the people have tightly crossed legs and tightly crossed arms, their inner attitude is usually one of extreme negativity toward what is going on around them. It may be difficult to get agreement.



Interpreting Gesture Clusters

- Certain combinations of gestures are especially reliable indicators of a person's true feelings. These combinations are clusters.
- Each gesture is dependent on others, so analysis of a person's body language is based on a series of signals to ensure that the body language is clearly and accurately understood.
- All the individual gestures fit together to project a common, unified message.
- When they do not, this means a incongruity.
- For example: A nervous laugh.
- A laugh generally a signal of relaxation. But if there are nervous signals in body language that means the person is trying to escape from an unpleasant situation.



Common Gesture Clusters Openness:

Several gestures indicate openness and sincerity

- Open hands,
- Unbuttoned coat or collar,
- Leaning slightly forward in the chair,
- Removing coat or jacket,
- Uncrossing arms and legs,
- Moving closer.



Common Gesture Clusters-Defensiveness:

People who are defensive usually have

- Rigidity
- Arms or legs tightly crossed
- Eyes glancing sideways or darting occasionally
- Minimal eye contact
- Lips pursed, fists clenched and downcast head



Common Gesture Clusters-Evaluation:

- Evaluation gestures say that the other person is being thoughtful or is considering what you are saying. Sometimes in a friendly way sometimes in an unfriendly way.
- Typical evaluation gestures include:
 - Tilted head,
 - Hand to cheek,
 - Leaning forward and
 - Chin stroking

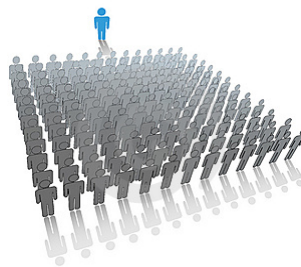


Common Gesture Clusters Nervousness

- Clearing one's throat
- Chain smoking
- Covering the mouth with hand
- Tapping fingers
- Whistling
- Jangling pocket change
- Fidgeting
- Twitching lips or face



Group Presentation Skills



Presentation Strategy

- Make Your Presentation POP
 - P - People
 - O - Objective
 - P - Point



P - People

- Know Your Audience
- Evaluate Key Influencers
- Subject Matter Knowledge
- Culture
- Interest



O – Objective

- What is Your Objective
 - Who/What/Why/When/How
- Desired Level of Interaction
 - Control vs. Conversation
- State Throughout
 - Reiterate Key Points



P – Point

- Recall
- Appeal to the Audience
- Outline Benefits
- Credibility
- Character



Structuring the Presentation

- Collect
 - Knowledge
 - Research
 - Filter data to target the audience and objective
- Organize
 - Idea Charts
 - Storyboarding
- What Are We Doing/Saying?
 - Catch their attention
- Create an Outline!



Presentation Basics

- Slide Structure
- Fonts
- Color
- Background
- Graphs
- Spelling
- Grammar
- Questions
- Conclusions



Slide Structure – Good

- Make the slides work for you
- Write in bullet form, not complete sentences (presentation does not read like a book – high bullets)
- No more than 5 bullets per slide
- Avoid wordiness: use key words and phrases only
- Powerpoint should not stand alone



Slide Structure - Bad

- This page contains too many words for a presentation slide and is written like a paragraph in a book. It is not written in bullet form, making it difficult both for your audience to read and for you to present each bullet. We are writing a paragraph instead of a slide. In short, your audience will spend too much time trying to read this paragraph instead of listening to you.



Slide Structure - Bad

- Do not use over-animate
- Be consistent with the animation that you use



Fonts - Good

- Use at least an 18-bullet font
- Use different size fonts for main bullets and secondary bullets
 - this font is 24-bullet, the main bullet font is 28-bullet, and the title font is 36-bullet
- Use a standard font like Times New Roman or Arial or Calibri



Fonts - Bad

- If you use a small font, your audience won't be able to read what you have written (this is not a book, this is a guide)
- CAPITALIZE ONLY WHEN NECESSARY. IT IS DIFFICULT TO READ
- *Don't use a complicated font*
- **Don't use a complicated font**
- **Don't use a complicated font**



Color - Good

- Use a color of font that contrasts sharply with the background
 - Ex: navy blue font on white background
- Use color to reinforce the logic of your structure
 - Ex: dark blue title and lighter blue text
- Use color to emphasize a bullet
 - But only use this occasionally



Color - Bad

- Using a font color that does not contrast with the background color is hard to read
- Using color for decoration is distracting and
- Using a different color for each bullet is unnecessary
 -



Background - Good

- Use backgrounds such as this one that are attractive but simple
- Use backgrounds which are light
 - Presentation may be copied
- Use the same background consistently throughout your presentation



Background – Bad

- Avoid backgrounds that are distracting or difficult to read from
- Always be consistent with the background that you use



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Graphs - Good

- Use graphs rather than just charts and words
 - Data in graphs is easier to comprehend & retain than is raw data
 - Trends are easier to visualize in graph form
- Always title your graphs

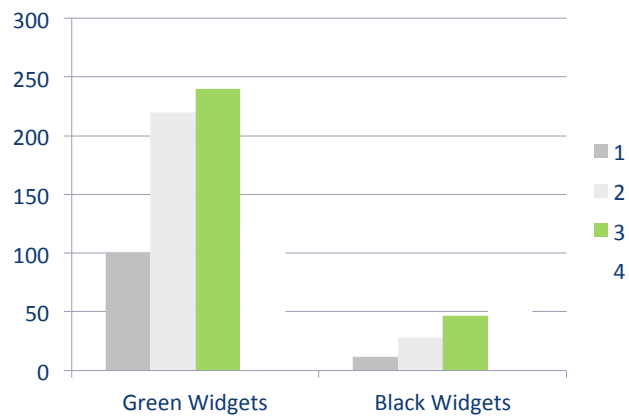
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Graphs - Bad

	1	2	3	4
Green Widgets	100	220	240	124
Black Widgets	12	28	47	99



Graphs - Good



Graphs - Bad

- Minor gridlines are unnecessary
- Font is too small
- Colors are illogical
- Title is missing
- Shading is distracting



Spelling and Grammar [1 of 2]

- Proof your slides for
 - spelling mistakes
 - the use of repeated words
 - grammatical errors you might have made



Spelling and Grammar (2 of 2)

- Accept/Except: Allow vs. Exempt
- Affect/Effect: Influence vs. Cause
- Conscious/Conscience: Being Aware vs. One's Moral Compass
- It's/Its: It is vs. possessive pronoun
- Than/Then: Comparison vs. Relation to Time

These are not caught on spell check as with many other errors!



Presentation Creation Summary

- Use an effective and strong closing
 - Your audience is likely to remember your last words
- Use a conclusion slide to:
 - Summarize the main bullets of your presentation
 - Suggest future avenues of research
- Do not end with Q&A



Length of Presentation

- Always schedule more than enough time
- Practice makes perfect
 - Do a walkthrough to verify length
- Always wrap up early – never go long



Identifying Appropriate Sources

- To evaluate reliability compare data from several different sources.
- Check for bias (especially with controversial topics)
- Compare statements by people who have opposing views.



The Importance of Citations

The purpose of a citation is intellectual honesty; to attribute to other authors the ideas they have previously expressed, rather than give the appearance to the work's readers that the work's authors are the original wellsprings of those ideas.



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Summary

- Improve your communication skills and improve your capabilities as an employee!
- Communication skills are more valuable than audit skills
- Communication must be constantly honed and practiced
- Continuous improvement
- Do not assume the person you are communicating with is an optimized communicator – like you now!

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