

Building Your AUDIT CHARACTER-istics: An Interactive Teambuilding Workshop



Beware: there is fun, sharing, and learning to be had ahead!

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Sept 2025

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Course Takeaways

- The Beginning
- Good Audits Begin With Great Introductions
- Traits of a Successful Auditor
- Building Your Audit Character!
- Battling the Audit Monsters
- Closing and Thank You



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Session Topic

The Beginning

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The Beginning

Auditors are regular people
 Connecting, conversing and
 collaborating
 We are “People People”
 We love meeting new people,
 right?



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Group Chat: What is Rapport?

Feel the Groove!

Brainstorm some ways to build rapport:

- 1
- 2
- 3



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Game On! Building Rapport



Meet Tyler
Hayden



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1. What thing about Fall do you look forward to?
2. When are you most excited at work?
3. Favourite sport to watch on TV?
4. How do you spend the holiday season?
5. Do you love History or Geography more?
6. Who do you know who has an amazing skill? (and what is it?)



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1. What do you wish you could experience again?
2. When was the best party you've attended?
3. Where do you go to relax?
4. Who is the most famous person you met?
5. Why do you live where you live?
6. What was your favourite car you have owned?



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Session Topic

Good Audits Begin With Great
Introductions

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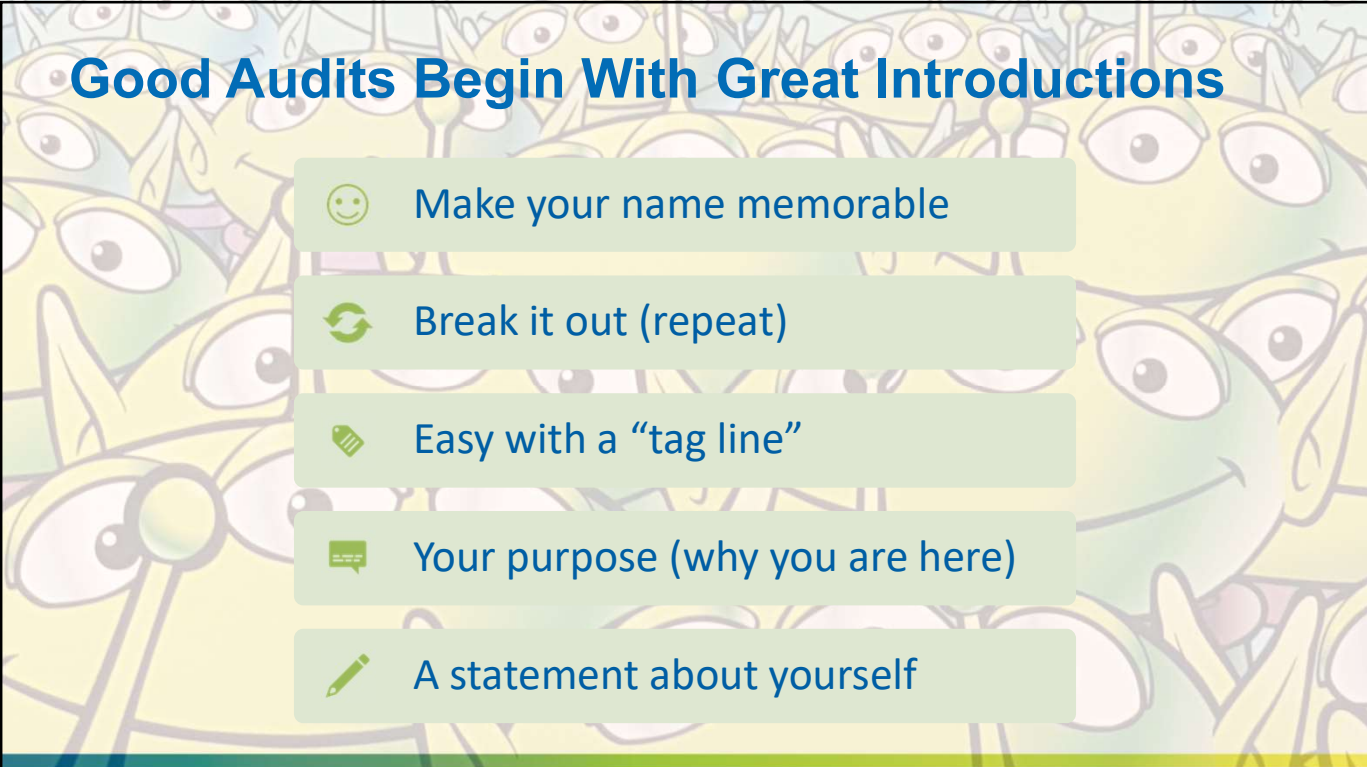
Good Audits Begin With Great Introductions

How to Approach People:

- Learning and teaching names is important
- Engage in conversations comfortably
- Make your value visible
- The best audits are conversational
- “You never get a second chance to create a first impression”

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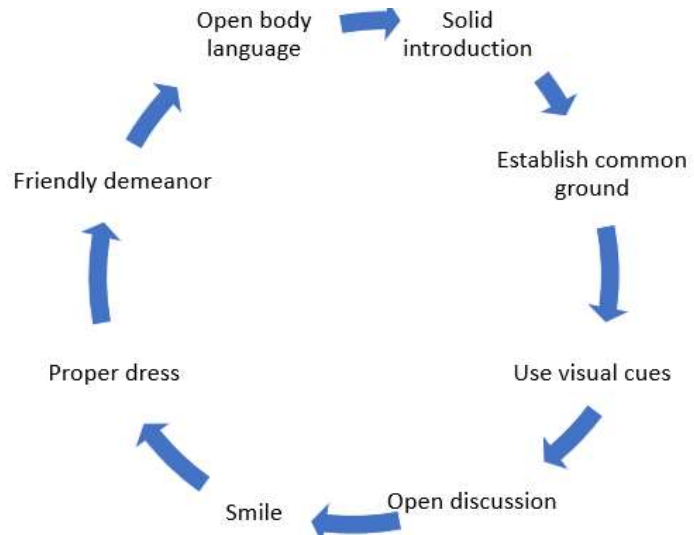
Good Audits Begin With Great Introductions

- 
- 😊 Make your name memorable
 - 🔄 Break it out (repeat)
 - 📌 Easy with a “tag line”
 - 💬 Your purpose (why you are here)
 - ✍️ A statement about yourself

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Good Audits Begin With Great Introductions

How to Build Rapport:



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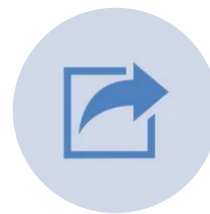
Good Audits Begin With Great Introductions



AUDITORS NEED TO
BE GREAT LISTENERS



AUDITORS NEED TO
BE CREATIVE



*(THIS NEXT ONE IS
GOING TO BE EASY)*

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Session Topic

Traits of a Successful Auditor

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Traits of a Successful Auditor

What Makes a Trained Auditor?

ISO 19011:2018 7.2.3:

- Audit principles, processes & methods
- Management system standards/references
- The organization being audited
- Applicable statutory and regulatory & other requirements

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Traits of a Successful Auditor

Develop your Character!

Givers vs. Getters:

- Natural to respond positively to someone who is a Giver rather than a Getter
- Givers display admirable Character in the connection process



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Traits of a Successful Auditor

Givers:

- Listens carefully, with intent to understand
- Asks questions about you and what you do in both your personal and business life
- Offers resources, connections, assistance, etc.

Go into the audit armed with a few things to offer when you are the Giver.

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Traits of a Successful Auditor

Competence Examples:

- Auditors demonstrate competency naturally (and humbly)
- Share stories of similar events
- Avoid “All That and a Bag of Chips” attitude



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Traits of a Successful Auditor

Group Chat

Brainstorm some adjectives for successful auditors:

- 1
- 2
- 3
- 4
- 5
- 6

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Traits of a Successful Auditor

What Makes a Successful Auditor?

Tenacious

Decisive

Organized

Patient

Empathetic

Punctual

Versatile

Sincere

Kind

Ethical

Fair

Observant

Diplomatic

Open-minded

Perceptive

Self-reliant

Understanding

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Building Your Audit CHARACTER-istics



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Building Your Audit CHARACTER-istics

“Be the Auditor
You Want to Be Audited By”

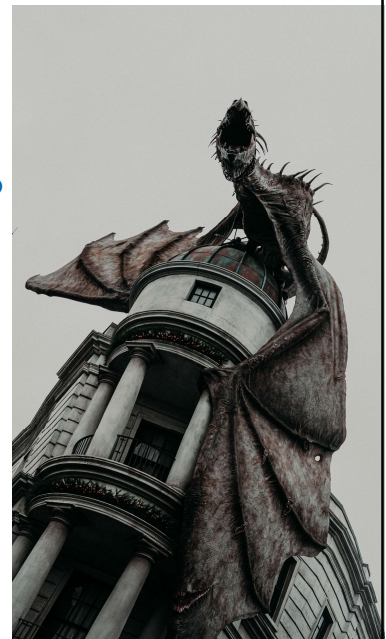
- Susan Gorveatte

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Building Your Audit CHARACTER-istics

Ask Yourself:

- What am I good at?
- What skills do I need to gain to “Level Up”?

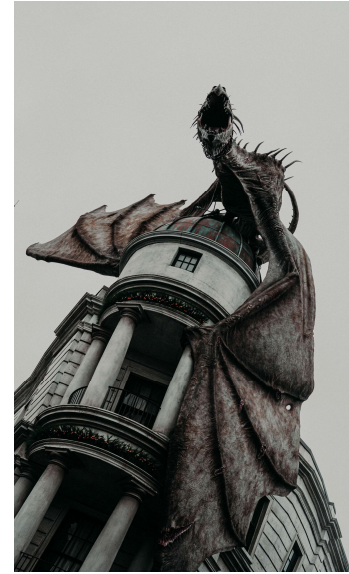


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Building Your Audit CHARACTER-istics

Game On!

WhoRU?



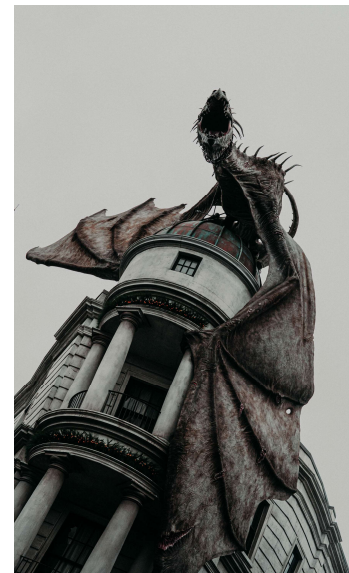
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Building Your Audit CHARACTER-istics

Assemble a team (Zoom room)

Build your character (10 min)

Discuss with the Group (5 min)

















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Session Topic

Building Your Audit Character!

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Building Your Audit CHARACTER-istics

- | | | |
|---|--|--|
|  Fighter <input type="checkbox"/> |  Rogue <input type="checkbox"/> |  Barbarian <input type="checkbox"/> |
|  Monk <input type="checkbox"/> |  Ranger <input type="checkbox"/> |  Wizard <input type="checkbox"/> |
|  Paladin <input type="checkbox"/> |  Cleric <input type="checkbox"/> |  Druid <input type="checkbox"/> |
|  Magician <input type="checkbox"/> |  Warlock <input type="checkbox"/> |  Artificer <input type="checkbox"/> |
|  Sorcerer <input type="checkbox"/> |  Bard <input type="checkbox"/> | |

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Building Your Audit CHARACTER-istics

You say "Auditor" I hear:

- Timekeeper
- Scribe
- Entertainer
- Investigator
- Detective
- Forensics Analyst
- Helmsman
- Journalist
- Planner
- Scheduler
- Public Relations Rep
- Sales Manager
- Police Officer
- Fireman
- Magician/Wizard
- MARVEL-ous SUPERHERO!
- JEDI KNIGHT!

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Building Your Audit CHARACTER-istics

Generic knowledge & skills

Discipline & sector specific knowledge and skills

Audit team leader knowledge & skills

Personal behaviour

Interpersonal skills

Human relations

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Building Your Audit CHARACTER-istics

- Communicating clearly and effectively
- Building and maintaining relationships
- Managing priorities
- Working in teams
- Leveraging improvement strategies
- Political savviness
- External awareness
- Managing conflict and resistance
- Sharing a common vision

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Building Your Audit CHARACTER-istics

Selecting Your Team Members:

Complementary skills	Generic knowledge and skills
Personal behavior	Specific knowledge and skills
Knowledge and Skills	Audit team leader knowledge and skill
Interpersonal skills	Auditing multiple disciplines
Human relations	

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Building Your Audit CHARACTER-istics

Selecting Your Team Members:

- Audit objectives, scope, criteria
- Overall competence of the audit team
- Objectivity and impartiality to avoid conflict of interest;
- Type and complexity of processes to be audited
- Ability to work together and interact effectively
- Any specific social or cultural requirements (language)

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Building Your Audit CHARACTER-istics

Remember:
the better the match,
the better the result.

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Session Topic

Battling the Monsters

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Battling the Audit Monsters

The challenge:

- Different people with different personalities

The outcome:

- Manage different personality types to ensure the person engages in the audit process
- Provide the required information without conflict or tension

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Battling the Audit Monsters

How will you handle:

- Cannot find document requested
- Provocation
- Constant interruptions
- Long telephone calls
- Unprepared
- Dog and pony show
- Volunteered information

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Session Topic

Closing and Thank You

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Thank you!

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