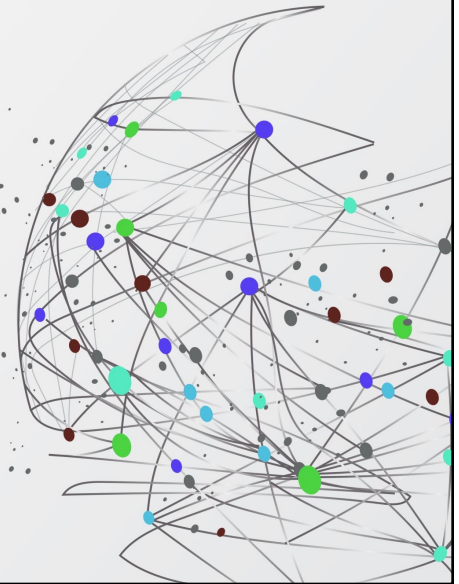


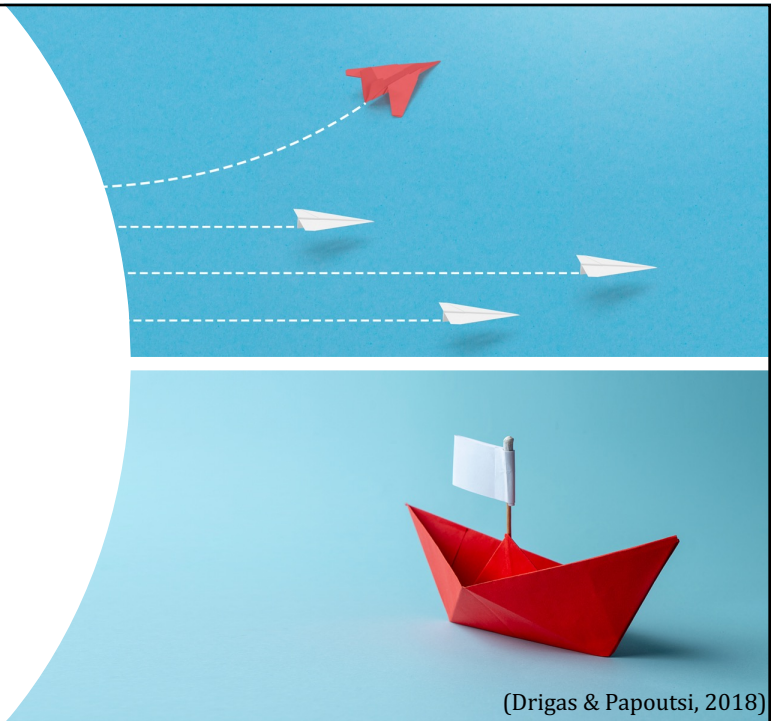
# Uncovering Your Role in Effective Audit and Investigation Teams through Emotional Intelligence

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ACFE Maryland Fraud Conference 2024



1

Emotional Intelligence (EI) is the rudder for thinking, learning, problem-solving, and decision-making.



(Drigas & Papoutsis, 2018)

2

**TEAM COMPOSITION INFLUENCES INDIVIDUAL PARTICIPATION.**

A diagram illustrating a cyclical relationship between two factors. At the top, a purple arrow curves from the word 'CHARACTER' to the word 'COMPETENCY'. At the bottom, a green arrow curves from 'COMPETENCY' back to 'CHARACTER', forming a continuous loop. The background of the slide is split: the left side shows a wall of various tools, and the right side shows a large, shiny gold trophy.

3

**EI IS A STRATEGIC TOOL FOR DESIRED OUTCOMES.**

A diagram showing the components of Emotional Intelligence (EI) overlaid on a chessboard background. The components are arranged in four colored boxes: 'Self-awareness' (orange), 'Self-regulation' (green), 'Social skills' (blue), and 'Relationship management' (purple). A central white box labeled 'Motivation' overlaps the other four boxes. In the background, a white chess king piece is in focus, with other pieces blurred.

4

## Individuals Impact Teams



EI REQUIRES US TO UNDERSTAND OTHERS, WHICH ALLOWS US TO RECOGNIZE EMOTIONAL REACTIONS.



WE USE THAT INFORMATION TO PERSUADE OTHERS AND AND REGULATE EMOTIONS.

5

Develop self-awareness.



6



A lack of self-awareness negatively impacts teams.

- Unwillingness to change
- Refuses feedback
- Unable or unwilling to see other perspectives
- Difficulty tailoring messages
- Inflated opinions
- Hurtful to others without realization

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Improve self-regulation.

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Be objective

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Self-acceptance

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Identify limitations and strengths

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Create S.M.A.R.T. goals.



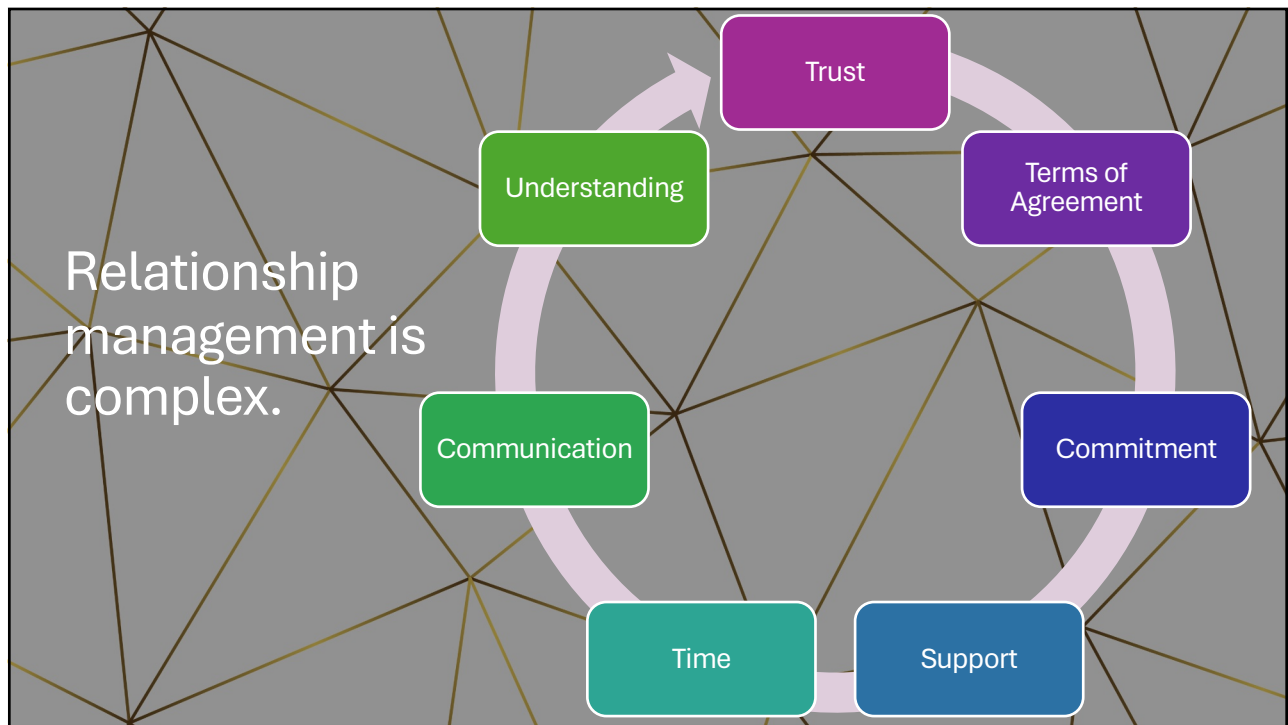
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### Notice others.

|                  |                                     |
|------------------|-------------------------------------|
| Practice empathy | Response vs. Reaction               |
| Extend grace     | Challenge perceptions               |
| Awareness        | Assess the impact of your influence |

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## Work personality alignment highlights natural and adaptive behaviors that facilitate awareness.

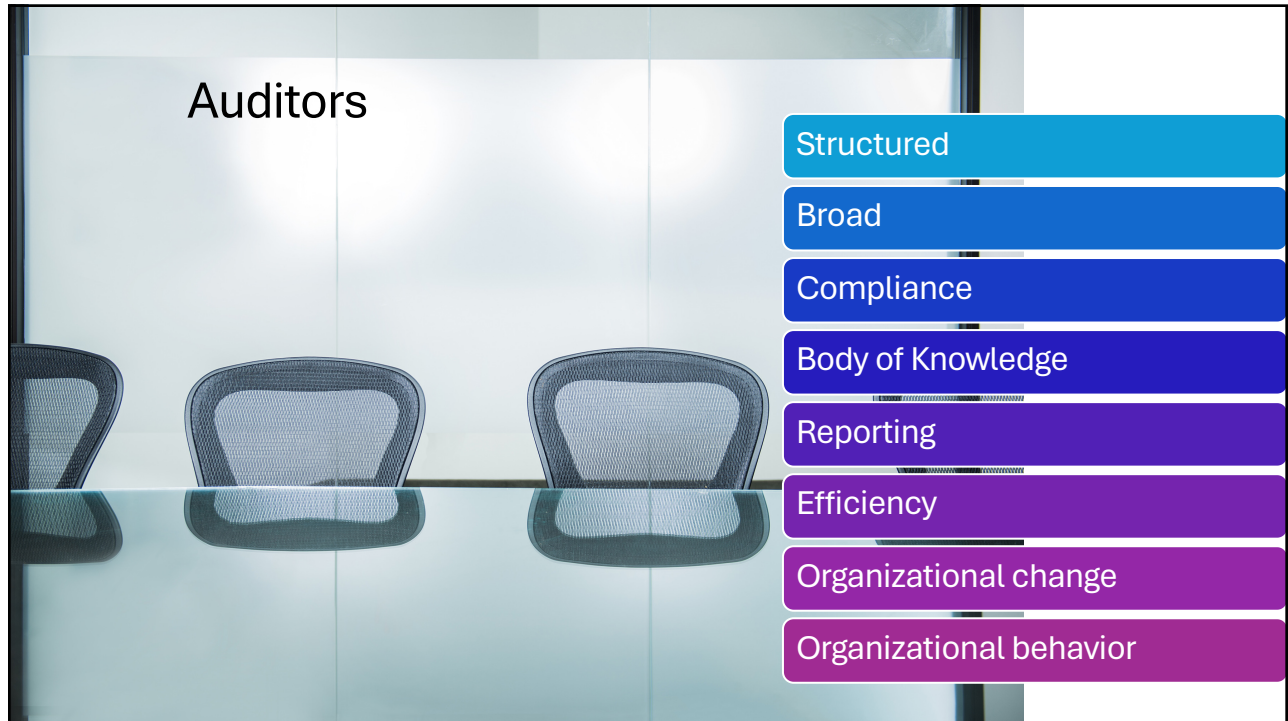
- Realistic (Doers)
- Investigative (Thinkers)
- Artistic (Creators)
- Social (Helpers)
- Enterprising (Persuaders)
- Conventional (Collaborators)

|                        |         |                    |     |
|------------------------|---------|--------------------|-----|
|                        |         |                    |     |
| Criminal Justice       | IES     |                    |     |
| Finance                | ESC     |                    |     |
| Psychologists          | SIA/IES | Economics          | IES |
| Information Technology | RIE     | Accounting         | CEI |
| Counseling             | SIA     | Health Information | ISC |
| Police Officer         | SER     | Auditor            | ITD |
|                        |         | Paralegal          | SEC |
|                        |         | Marketing          | ERS |

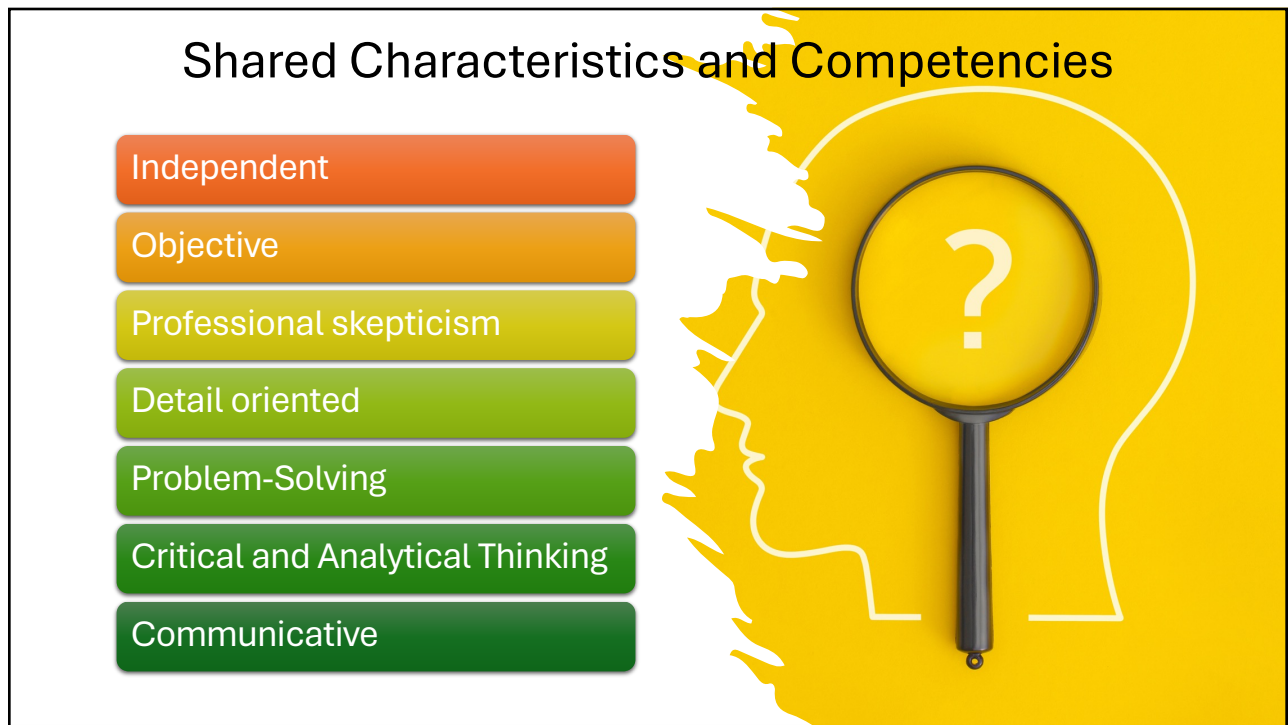
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## Case Study # A

- A team is assembled to investigate allegations of misappropriated funds for Project Next.
- A business analyst for Project Next was recently terminated.
- A potential witness agrees to speak with a team member if they can remain anonymous.
- Budget spreadsheets relating to Project Next were modified and deleted from a shared drive on or about the time of the business analyst's departure.

15

## Case Study #A

Plan and Approach

Team composition

Roles

Priorities

Knowns

Unknowns

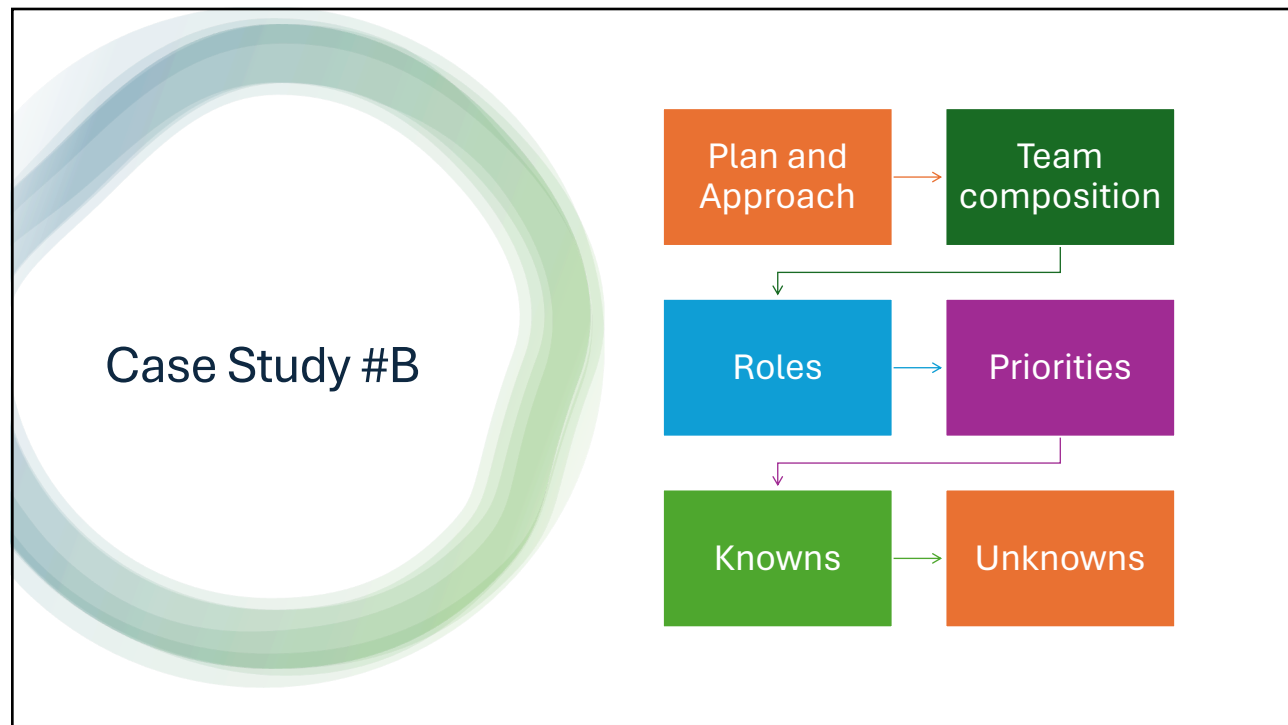
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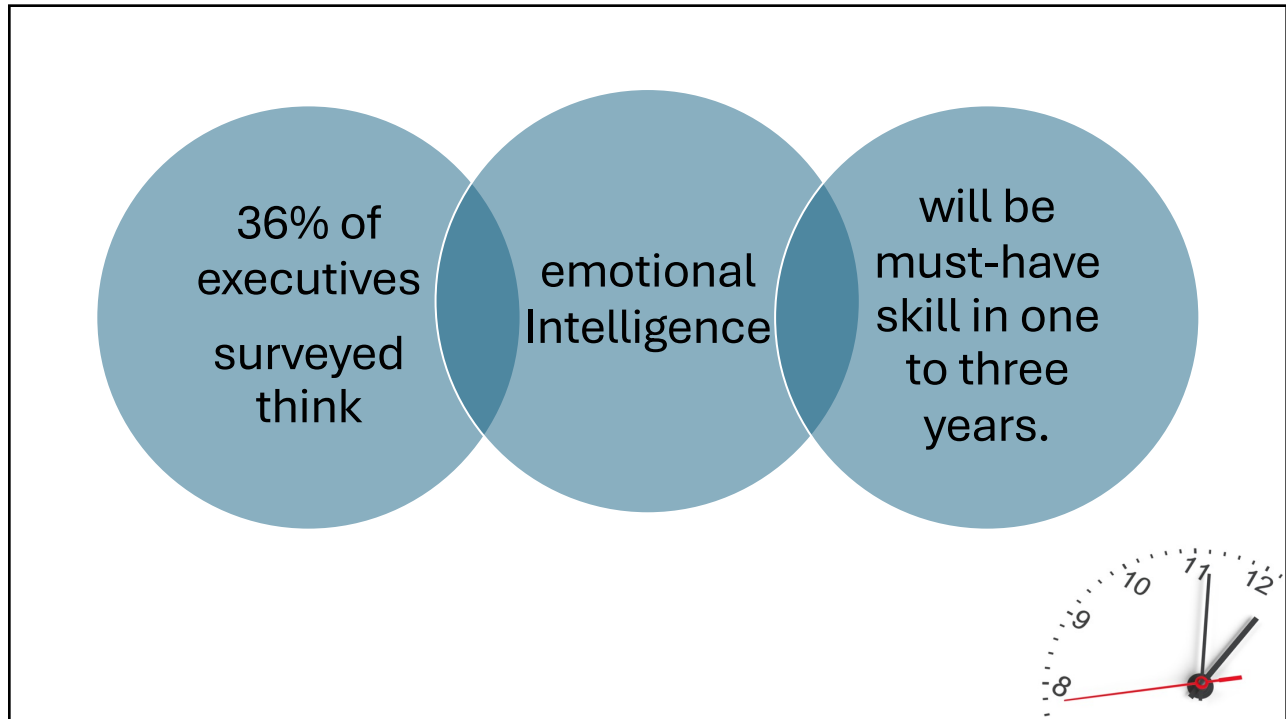
## Case Study #B

- An audit team planned a concurrent audit of a grant program during an ongoing criminal investigation.
- Investigative and audit teams met to deconflict before the audit.
- The audit discovered admissions of employee misconduct by grant recipients.
- Disclosing the findings to investigators could impact the audit.
- A formal audit report was prepared to disclose the findings of employee misconduct and recommendations.

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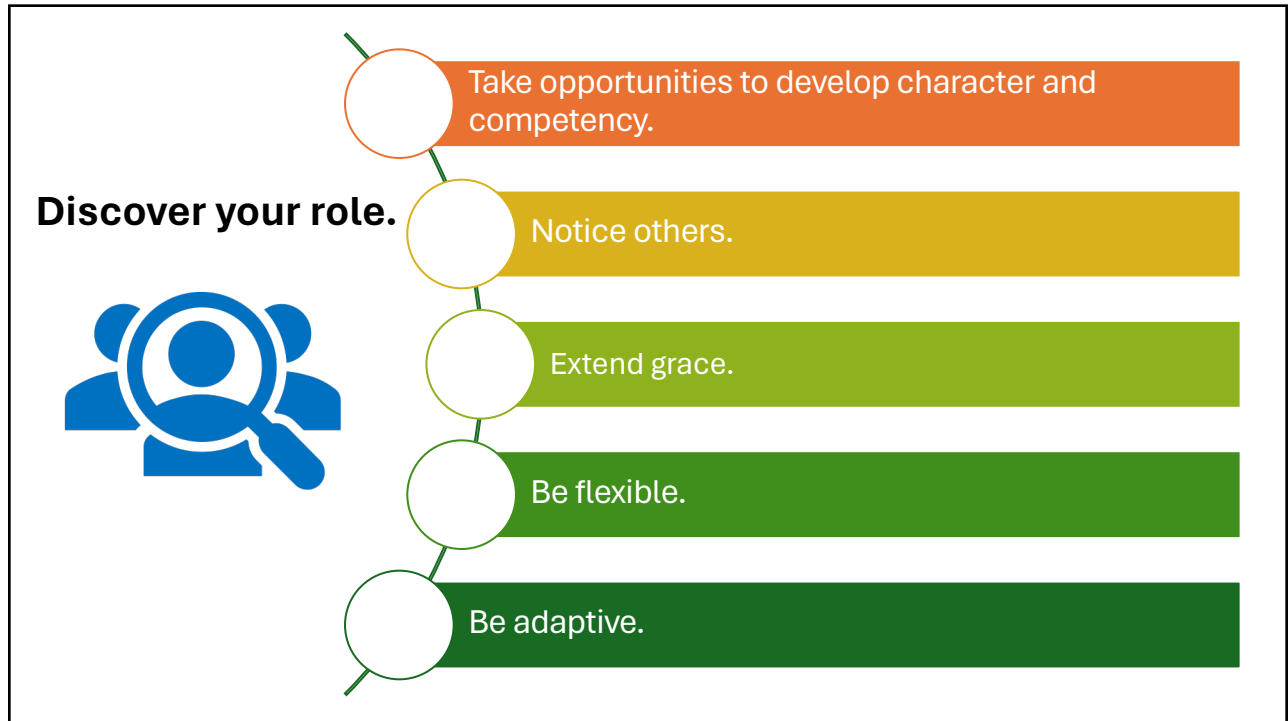


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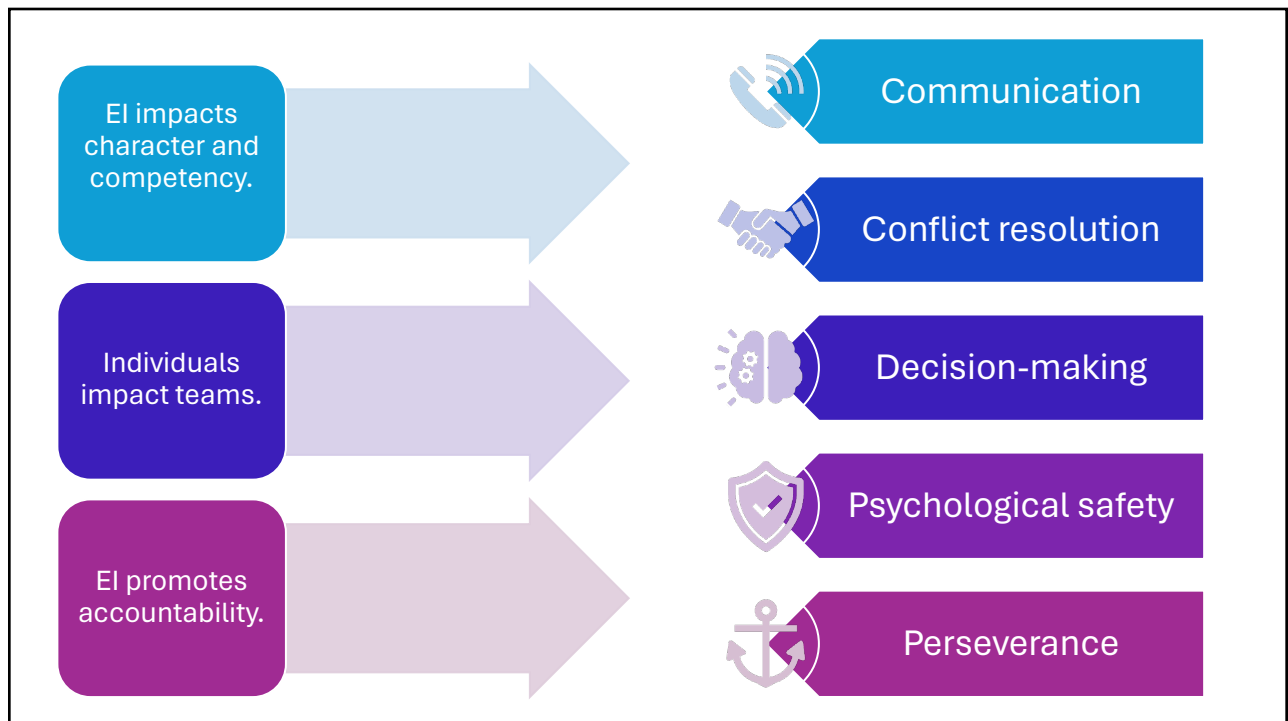
## The human factor in teams and rocket science.

- The NASA Johnson Space Center Human Factors Engineering Lab (HFEL) is comprised of personnel with diverse backgrounds and experience.
- The HFEL leads human-centered design processes.

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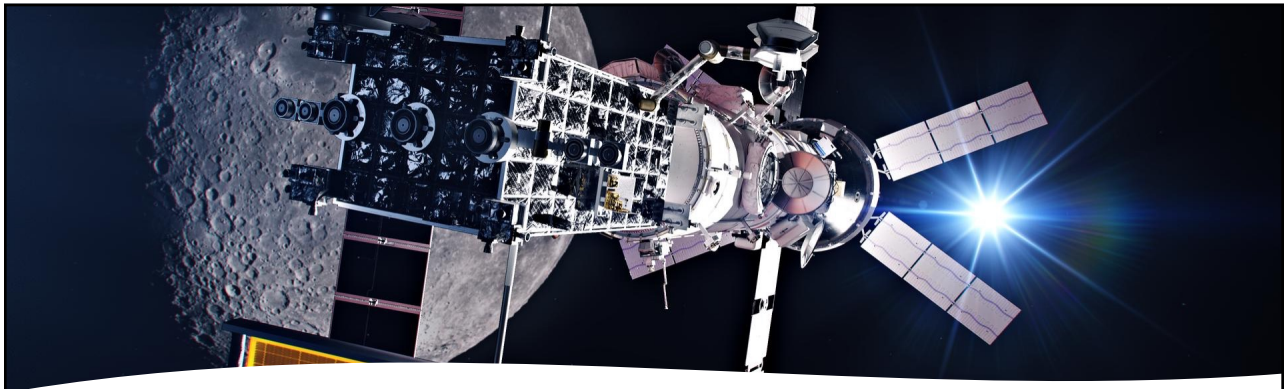
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*“The strength of the team is each individual member. The strength of each member is the team.”*

*– P. Jackson.*

23



*Thank you*

- The Gateway space station hosts the Orion spacecraft and SpaceX's deep space logistics spacecraft in a polar orbit around the Moon, supporting scientific discovery on the lunar surface during the Artemis IV mission.

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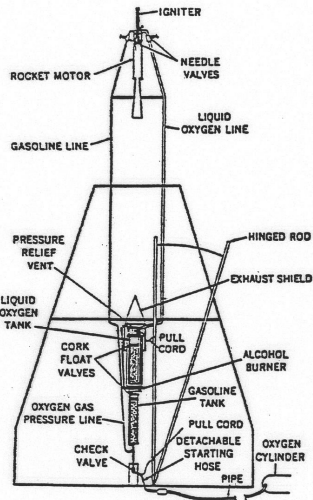


Figure 1  
Dr. Goddard's 1928 Rocket

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