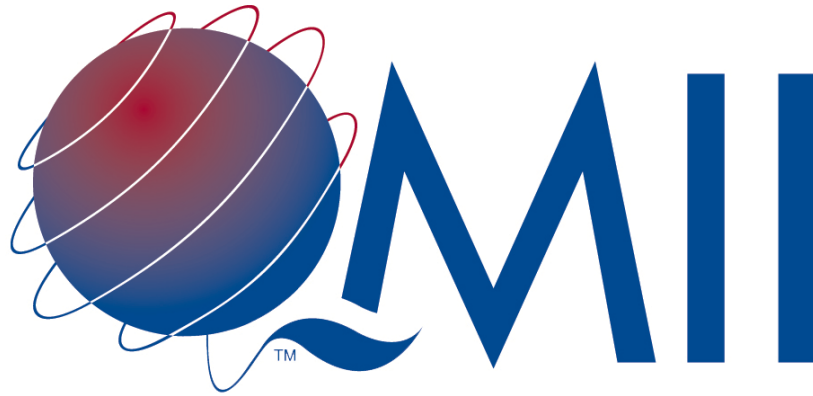


QUALITY MANAGEMENT INTERNATIONAL, INC.



Effective Auditee Interviews

Do's and Don'ts

What We Will Cover Today

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About QMII

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Why Are We Here?

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Effective Audit Interviews

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Q & A

About QMII

- QMII has provided best in industry process improvement consulting, auditing & training since 1986
- Headquartered in Ashburn VA 20147
- ISO 9001:2015 Certified
- SBA 8(a) & DBE certified
- Minority owned business
- GSA PSS and Schedule 70 Holder



About QMII

US Coast Guard

FHWA

US Navy

NJ Transit

US Army

Amtrak

DOT

US Air Force

US Marines

GPO

DOC

Commercial



Why Are We Here?



- Understand how to determine effectiveness of the process in limited allotted time?
- Understand the different audit questioning techniques.
- Preparation of auditees to remove the fear

Audit Definition



“Systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled”

Auditee Notification

Openly provide the information:

- Audit objective (why is the audit being done?)
- Audit scope (extent or limits of the audit)
- Audit criteria (auditee's requirements)
- Date and timings (previously agreed upon)
- Include an audit plan for system audits

*Ask supervisors to ensure people are available
and to request any needed changes.*

Checklist Preparation



Checklists ensure the auditor is briefed and prepared.

- Identify the following:
 - Purpose of audit
 - Scope
 - Audit criteria
- Review relevant documentation
- If practical, conduct a preliminary visit/
Remote
- Frame questions around the requirement
- Ensure compatibility with audit plan
- Review for adequacy

Audit Technique



The audit investigation should uncover:

- Areas adequately controlled
- Areas requiring additional controls

This is achieved by witnessing:

- Records and reports
- Working practices
- Knowledge of people
- Expertise of people

*AUDITORS LOOK FOR CONFORMITY WITH
REQUIREMENTS*

Interviewing Auditees

- Select individuals from appropriate functions and levels
- Conduct during normal working hours
- Put the individual at ease
- Summarize findings with individual
- Thank auditee for participation

Questioning

- Where, When and How to access audit information is crucial to the audit.
- Who created, What, When and Why also need to be determined.

Type of questions can be framed based on the objective:

- Closed questions
- Silent questions
- Naive questions
- Hypothetical questions often enable determining the risk and competence

Listening

- Ask a question
- Listen to the answer
- Seek clarification – paraphrase and ask questions
- Make notes
- Ask another question ...
- Use auditee's jargon

Looking at and Confirming Facts



- Documentation
- Records
- Environmental conditions
- Processes
- Asking others and comparing
- Observing an activity
- Auditee simulates the activity
- Look for the unusual or odd-one-out
- Accept a confession, verify a claim

Never argue with an auditee

Generic Checklist for Training

- What is the objective of the training process? _____
- How are the required competencies determined? _____
- Sample for evidence of competence verification e.g.:
 - a) Welding (or some other special process) _____
 - b) Machine setting (or another preventive process) _____
 - c) Heat treatment (another special process) _____
- Ask supervisors how they recognize competence _____
- Need for cross-functional training -how determined? _____
- How are records used to assign competent staff? _____
- How is training *monitored* for its effectiveness? _____
- Look for support from the recruiting process
supplying employees with the required attributes _____

Good Practice



Do:

- Interview the person doing the job
- Use the checklist
- Make notes
- Be courteous
- Maintain control
- Seek facts
- Inform the auditee of a nonconformity promptly
- Be fair and honest
- Consider confidentiality for onsite and virtual audits

Good Practice



Do not:

- Arrive late
- Deviate from the audit plan
- Talk down
- Give recommendations
- Criticize
- Make comparisons
- Be longwinded
- Be afraid to say you don't understand

Exercising Judgment



- Establishing the correct requirement
- Method of investigation
- Who to get the information from
- What to look at
- Sample size
- How long to persist
- Is there a nonconformity
- When to consult second, or team members

Procurement Options



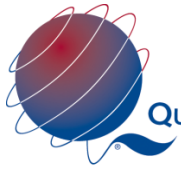
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SDVOSB Partners WOSB
Partners
HUBZONE Partners
Other Vehicles

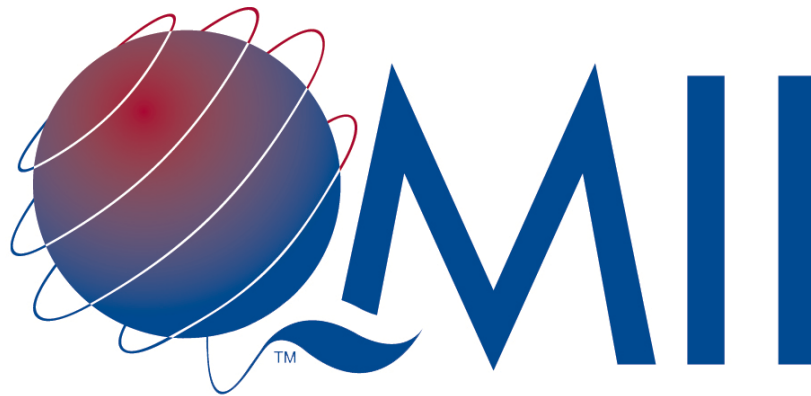
Thank You!!!



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Thank You