Cases T 26v19

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| **Title 21** | **Interested parties T 15 – 22 T 45 - 50** |
| Introduction | **How to better determine the relevant interested parties**  Scope: production or service company  Target group: Quality manager, department heads |
| Situation | In the company Nicetoy Mr. Thenose, quality manager, brings together the heads of some departments to update the relevant interested parties of the company. After a discussion in which everyone had a say a consensus emerged on the external providers: raw materials suppliers, consumable suppliers, electricity provider, water provider, gas provider, telephone provider, internet provider, maintenance subcontractors, banks, insurers, retailers, transporters and security agency.  Mr. Thenose has established three lists by priority:  List A: customers, employees, consumers, shareholders, investors, external providers, industry organizations, industry associations, legal authorities, regulators, partners, competitors, certification bodies, fire department, ambulance, local associations, NGOs, press, TV, radio  List B: employees, customers, consumers, shareholders, investors, external providers, industry organizations, industry associations, legal authorities, regulators, partners, competitors, certification bodies, fire department, ambulance, local associations, NGOs, press, TV, radio  List C: shareholders, certification bodies, external providers, customers, employees, consumers, investors, industry organizations, industry associations, legal authorities, regulators, partners, competitors, fire department, ambulance, local associations, NGOs, press, TV, radio |
| Challenge | Which is the most relevant list?  Solution 1. List A  Solution 2. List B  Solution 3. List C |
| Solution 1 | False  Comment  Customers are important but before looking for a customer and trying to satisfy its needs you must produce something!  It is not by chance that Vineet Nayar’s book is entitled "Employees First, Customers Second" |
| Solution 2 | True  Comment  The staff is the most important interested party. Before looking for a customer you must produce something!  It is not by chance that Vineet Nayar’s book is entitled "Employees First, Customers Second" |
| Solution 3 | False  Comment  Shareholders are important but before distributing dividends to shareholders you must produce something and then look for customers!  It is not by chance that Vineet Nayar’s book is entitled "Employees First, Customers Second" |

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| **Title 4** | **Customer and need T 15, 16, 19** |
| Introduction | **Establishing customer loyalty (how to anticipate and satisfy their needs and expectations)**  Scope: Production company  Target group: Director, quality director, quality manager, sales manager |
| Situation | Ms. Thethumb, sales manager at Nicetoy company has issued an alarming report to top management. For some months the Nicetoy company has had stagnating sales and for some customers lower annual orders.  Ms. Thecheek, quality director is not very surprised because recently the production nonconformities have begun to fill up the prison.  Mr. Thearm, the Director, will undertake actions to allow the company to recover very quickly. |
| Challenge | Mr. Thearm must choose one of these solutions:  1. Achieve a technological breakthrough with a new line of toys  2. Stand out from the competition with unbeatable prices  3. Quickly recruit a marketing agent out of a top college  4. Contact the customer and identify the problem |
| Solution 1 | False  Comment  Before identifying the causes of this loss of market, a new line of toys cannot be a short-term solution!  A technological breakthrough is valid in the long term and requires a significant investment |
| Solution 2 | False  Comment Before identifying the causes of this loss of market, lowering prices may not be a short-term solution!  Using very low prices is bold but it is not a guarantee of success and can have disastrous financial consequences |
| Solution 3 | False  Comment  Before identifying the causes of this loss of market, relying on a new marketing agent cannot be a short-term solution!  A new marketing agent can bring benefits but it takes a lot of time and requires a significant investment |
| Solution 4 | True  Comment  Mr. Thearm, Ms. Thethumb and Ms. Thecheek will tour the most important customers and identify their needs, expectations and desires!  Frank discussion with customers, understanding their needs and anticipating their wishes is a prerequisite to the recovery of the company. Ensure flawless deadlines and impeccable quality to regain the trust of customers. Then ask Ms. Thecheek to find the causes of the intolerable amount of nonconformities and quickly implement an action plan |

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| **Title 16** | **Priority tasks T 15, T 16, T 19** |
| Introduction | **How to choose priorities**  Scope: production or service company  Target group: directorr, QSE manager, QSE team |
| Situation | After some delays recently accumulated, Mr. Thehand, director of Nicetoy, asks Mr. Thenose, QSE manager, to give him (by Thursday evening) a plan of activities to be performed next week.  Tasks with delays:  A. Analyze the boxes of nonconformities in the "prison" and decide their fate  B. Call Ms. Verynear of the customer Mytoy to inform her of actions undertaken in response to the return of the 3 defective products  C. Train people on the list of procedure validation on the Intranet  D. Finalize the annual program of internal audits |
| Challenge | Mr. Thenose meets his team and together they choose priorities in this order:  Solution 1. B, A, C, D  Solution 2. A, B, C, D  Solution 3. C, B, A, D  Solution 4. D, A, B, C |
| Possible solution 1 | True Comment  Responding to the customer is the first priority!  B. Finding the root causes, implementing the necessary actions, writing the 8 D report and sending it to Ms. Verynear is the most important and most urgent task  A. Dealing with nonconformities is a second priority that should not wait  C. Training people to be able to validate the procedures is important but is not an emergency  D. The annual audit program may change during the year, so it is not very urgent, but do not forget to do it |
| Possible solution 2 | False Comment  Customer returns are external nonconformities and are even more important than internal nonconformities!  A. Dealing with nonconformities is a second priority that should not wait  B. Finding the root causes, implementing the necessary actions, writing the 8 D report and sending it to Ms. Verynear is the most important and most urgent task  C. Training people to be able to validate the procedures is important but is not an emergency  D. The annual audit program may change during the year, so it is not very urgent, but do not forget to do it |
| Possible solution 3 | False Comment  Internal training should be performed after the customer returns and the treatment of nonconformities!  C. Training people to be able to validate the procedures is important but is not an emergency  B. Finding the root causes, implementing the necessary actions, writing the 8 D report and sending it to Ms. Verynear is the most important and most urgent task  A. Dealing with nonconformities is a second priority that should not wait  D. The annual audit program may change during the year, so it is not very urgent, but do not forget to do it |
| Possible solution 4 | False Comment  The audit program can wait a little longer. Responding to the customer is the first priority!  D. The annual audit program may change during the year, so it is not very urgent, but do not forget to do it  A. Dealing with nonconformities is a second priority that should not wait  B. Finding the root causes, implementing the necessary actions, writing the 8 D report and sending it to Ms. Verynear is the most important and most urgent task  C. Training people to be able to validate the procedures is important but is not an emergency |

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| **Title 19** | **New line T 15 - T 22, T 48, T 49** |
| Introduction | **How can a strategic project be successful**  Scope: Production company  Target group: company director, production manager, executive committee |
| Situation | After a few years, the sale of Nicetoy company's flagship products stagnates and the most important customers (80% of turnover) show no visible signs of increased orders. Mr. Thearm, Nicetoy director, organizes a meeting of the executive committee to find a lasting solution. He explains that a credit of 4 million euros with a rate of 2.5% will certainly be granted by the bank if a well-designed plan is filed before the end of next month. This funding will be used to purchase and implement an automatic (and ecological) line for painting of the main components of the MX series (electric sports cars). |
| Challenge | A team is quickly formed with project leader Mr. Theback, production manager. After a few meetings, two proposals are submitted to the director. What will be the executive committee’s choice?  Choice 1  Organize work optimally   * Involve all staff in the project * Convince people that work in 3 shifts is essential   Manage performance   * Link the project with the business plan * Communicate project progress regularly (dashboard with result indicators)   Develop new skills   * Train staff in specific requirements of the automatic line at the manufacturer (one week) * Involve staff during installation and testing of equipment   Choice 2  Get a turnkey delivery line   * Include compensation from the manufacturer for each day of delay * Include a clause that a manufacturer's representative is on-site during the first two months to resolve any problem at the start of the line   Manage Risk   * Provide a reserve stock of goods in case there is a problem that will lead to a delay at the start of the line * Recruit interim personnel in order not to disturb the staff leave and holidays   Develop new skills   * Train staff in specific requirements of the automatic line at the manufacturer (two weeks) * Train staff in the theory of automatic painting lines |
| Choice 1 | True  Comment  Organizing work, managing performance and developing new skills is a wise order of priorities!  Involving staff in the project is essential to the success of the automatic line. Communicating the progress of the project will raise awareness and gain a sense of ownership. Training staff and getting staff to participate during the installation of the line is a guarantee to have no unpleasant surprises during the start of the line. |
| Choice 2 | False  Comment  Wearing a belt and suspenders is good, but in a company it's expensive!  The turnkey delivery can be expensive. If we focus on delay damages, the total price of the line will increase. Requesting the presence of a manufacturer's representative on site for two months is good, but it's expensive (the total price of the line will increase). Staff participation during the assembly of line equipment is a better choice. Providing a reserve stock is good, but it is expensive and may delay the launch of the new line. Hiring interim personnel is a solution when orders are abundant, but it is not a response to not disturbing the leave of some people. Training staff for a long time (two weeks) and on theory is not mandatory and is expensive. |

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| **Title 26** | **New risk T 15-22, T 51** |
| Introduction | **How to better manage a new risk**  Scope: Production or service company  Target group: Risk manager, risk team members |
| Situation | A new risk, not present in the risk register has been identified and notified to Mr. Theelbow, risk manager of Nicetoy. With the members of his team, Mr. Theelbow must decide what action to take first. |
| Challenge | How to proceed?  Solution 1. Discuss with team members to evaluate the risk  Solution 2. Discuss with team members to analyze the risk  Solution 3. Discuss with team members to treat the risk |
| Solution 1 | False  Comment  Evaluating the risk is mandatory but before that the risk must be analyzed!  Analyze the risk is the action to take first. |
| Solution 2 | True  Comment  Analyze the risk is the action to take first!  Afterwards we will be able to evaluate it and treat it. |
| Solution 3 | False  Comment  Treating the risk is mandatory but before that the risk must be analyzed and evaluated!  Analyze the risk is the action to take first. |

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| **Title 29** | **Risk treatment T 18-19** |
| Introduction | **How to treat a risk**  Scope: Production or service company  Target group: Risk manager, members of the risk team |
| Situation | Mr. Theelbow, risk manager of the company Nicetoy, is notified of a threat of rust appearing, in a very salty environment, on the central part of the handlebars of the tricycle. Together with the members of his team Mr. Theelbow has to decide which solution to choose. |
| Challenge | Solution 1. Replace the handlebar steel with stainless steel.  Solution 2. Add a thin layer of grease and a plastic protection.  Solution 3. Do nothing special because it is a seasonal toy. |
| Solution 1 | True  Comment  Refusing the risk is the best solution!  Removing the root cause of the risk is always very good, but it can be expensive. |
| Solution 2 | True  Comment  Risk mitigation is a very good solution!  It will reduce the likelihood of rust occurrence. It is often the cheapest solution. |
| Solution 3 | False  Comment  Tolerating risk is possible, but it is not very honest!  The company's image can suffer very easily. |

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| **Title 27** | **Risk register T 15-22, T 51** |
| Introduction | **How to better know when to update the risk register**  Scope: Production and service company  Target group: Risk manager, risk team members |
| Situation | The risk register is the file containing the information relating to the identified risks. Mr. Theelbow, risk manager of the company Nicetoy with the members of his team regularly updates the register. |
| Challenge | The risk register is an output element of which process?  Solution 1. Identify the risk  Solution 2. Analyze the risk  Solution 3. Evaluate the risk  Solution 4. Treat the risk |
| Solution 1 | True  Comment  One of the output elements of the risk identification process is the risk register!  Identifying the risk is finding and describing the risks that can influence the achievement of objectives. |
| Solution 2 | False  Comment  The risk register is one of the output elements of the risk identification process!  Identifying the risk is finding and describing the risks that can influence the achievement of objectives. |
| Solution 3 | False  Comment  The risk register is one of the output elements of the risk identification process!  Identifying the risk is finding and describing the risks that can influence the achievement of objectives. |
| Solution 4 | False  Comment  The risk register is one of the output elements of the risk identification process!  Identifying the risk is finding and describing the risks that can influence the achievement of objectives. |

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| **Title 32** | **Natural disaster risk T 53** |
| Introduction | **How to use the emergency plan after a natural disaster**  Scope: Production company  Target group: Nicetoy project manager, team members |
| Situation | Endless rains flooded the department where the new T3 tricycle project was being done. Some equipment has to be discarded. Mr. Thenose, project manager at Nicetoy must decide with his team what to do. Several solutions are possible. |
| Challenge | Solution 1. Find in the emergency plan the person in charge of this risk and the actions to be taken  Solution 2. Bring the team together to discuss the actions to be implemented  Solution 3. Bring the team together to update the emergency plan and find the one that has not taken into account this risk and its impacts |
| Solution 1 | True  Comment  The emergency plan is there for that!  The person in charge of this risk must lead the team in order to implement all the planned actions. |
| Solution 2 | False  Comment  It's already written in the emergency plan!  Now is not the time to argue. We must find the emergency plan, who is in charge of this risk and follow the planned actions. |
| Solution 3 | False  Comment  This risk is in the emergency plan!  Now is not the time to blame. We must find the emergency plan, who is in charge of this risk and follow the planned actions. |

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| **Title 17** | **Communication T 15, T 16, T 19** |
| Introduction | **How to have smart communication**  Scope: production or service company  Target group: director, production manager, QSE manager, customer |
| Situation | This month, the two public holidays may cause a delay in the delivery of products PX1 to the Mytoy customer who has already shown signs of concern (Ms. Verynear, Mytoy director, phoned twice this week). Mr. Thehand, Nicetoy director, asked Mr. Theback, production manager, to send him an action plan to meet the deadline for the Mytoy delivery by no later than Friday morning. |
| Challenge | Mr. Theback gathers his team and together with Mr. Thenose, QSE manager, they choose to respond to the director as follows:  Solution 1. Perform the following tasks:  • identify all the potential risks  • analyze the risks  • find the root causes  • evaluate each risk  • prioritize  • select the means to address the risks (action plan)  • reassure the customer, informing them of the action plan  Solution 2 Decide:  • to draw up the action plan  • to send a soothing email to the customer  Solution 3. Require an additional week to provide a detailed and adequate response |
| Possible solution 1 | True Comment  Transforming a big task into smaller tasks facilitates the achievement of the goal!  "Simple solutions for now, perfection for later."  Communicating with the customer is a win-win approach. Explaining the action plan will certainly reassure them. |
| Possible solution 2 | False Comment  Deciding is good, but doing it is better!  Performing the big task (action plan) head-on can lead to the non-identification of risks and discourage members of the team.  Communicating with the customer is a win-win approach.  Emailing is fine, but talking on the phone to explain and reassure is better! |
| Possible solution 3 | False Comment  Meeting the deadline for delivery is a priority that cannot wait!  "Simple solutions for now, perfection for later."  Communicating with the customer is a win-win approach. |

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| **Title 37** | **Response to an incident F 24** |
| Introduction | **How to respond to an incident**  Scope: production or service company  Public : Information security manager (ISM), personnel |
| Situation | Ms. Faraway, ISM at Nicetoy, educates staff on the risks of information security incidents. She explains the difference between threats and vulnerabilities, gives examples of incidents and comments on the sequence of steps to follow in the "Incidents" procedure. |
| Challenge | The response to any information security incident includes the following sequence:  Solution 1. Detect, report, assess, respond, close  Solution 2. Detect, report, respond, close  Solution 3. Detect, assess, respond, define lessons learned |
| Solution 1 | True  Comment  This is the right sequence and the right steps in an incident response!  “An incident is the perfect opportunity to learn and improve.” Shaun Bickley |
| Solution 2 | False  Comment  In this sequence a step is missing!  The assessment of the incident is an important step and includes the classification, analysis and evaluation of the incident. |
| Solution 3 | False  Comment  In this sequence a step is missing!  Reporting is an important step in notifying the ISM. Defining lessons learned is a step that is taken after the incident response is closed. |

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| **Title 25** | **Selecting suppliers T 15, 16, 19** |
| Introduction | **How to select a supplier without an audit**  Scope: Production company  Target group: Purchasing manager, sales manager, QSE manager |
| Situation | Mr. Theelbow, purchasing manager of Nicetoy company, must select suppliers (external providers) for a new raw material for the wheels of the new toy PX1.  Among the 10 potential suppliers contacted, 3 declined to be audited.  Mr. Theelbow meets with Mr. Thenose, QSE manager, and Ms. Thethumb, sales manager, to decide how to evaluate and select at least two suppliers for this raw material. |
| Challenge | How should suppliers be selected and should we exclude the three who declined to be audited?  Solution 1. Select suppliers only among those who agree to be audited  Solution 2. Select suppliers according to several criteria, one of which one is auditing  Solution 3. Select suppliers according to criteria, in which auditing is not included |
| Solution 1 | False  Comment  The evaluation and selection of suppliers is a process in which the audit is only one criterion!  The supplier evaluation criteria are numerous (risk, performance) and the audit is not fundamental. |
| Solution 2 | True  Comment  The supplier evaluation criteria are numerous (risk, performance) and the audit is not fundamental!  It's always better to be able to audit the supplier on site, but it is not mandatory, and when the supplier is far away the costs of the audit may be too high. |
| Solution 3 | True  Comment  The supplier evaluation criteria are numerous (risk, performance) and the audit is not mandatory!  The audit of a supplier cannot be an exclusion criterion. Other criteria are often more important, such as the risk to the ability to meet product requirements, regulations, costs and deadlines. |

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| **Title 48** | **Business continuity T 26** |
| Introduction | **How to guarantee business continuity in the event of a disaster**  Scope: Production or service company  Target group: Top management, staff |
| Situation | Mr. Thehand, director of Jouetsympa, wants to set up a business continuity management system to guarantee the continuity of its services in the event of a disaster.  With the help of a dedicated team, he begins by identifying the potential impacts of a disaster on its activities. Then he defines a strategy and solutions to guarantee the continuity of its critical services, such as setting up a backup site and backing up its data. |
| Challenge | The objective of the business continuity plan (BCP) is to:  Solution 1. Reduce the impacts of a disruption  Solution 2. Guarantee priority activities during the disruption  Solution 3. Control the recovery to normal situation  Solution 4. Simulate the selected business continuity solutions in the field |
| Solution 1 | True  Comment  This is an objective of the BCP!  Reducing the impacts of a disruption is indeed an objective of the BCP. |
| Solution 2 | True  Comment  This is an objective of the BCP!  Guaranteeing priority activities during the disruption is indeed an objective of the BCP. |
| Solution 3 | True  Comment  This is an objective of the BCP!  Controlling the recovery to the normal situation is indeed an objective of the BCP. |
| Solution 4 | False  Comment  This is not an objective of the BCP!  The exercise and test program makes it possible to simulate the selected business continuity solutions in the field, but this is not an objective of the BCP. |

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| **Title 12** | **Audit readiness T 35 - 42** |
| Introduction | **How to prepare one’s audit**  Scope: production or services company  Target group: director, QSE manager, auditors |
| Situation | Mr. Thehand, director of the company Nicetoy, asks Mr. Thenose, QSE manager, to carry out refresher training on internal audit basics. The preparation of an audit is an important part of the skills of the auditor to conduct an audit with added value. |
| Challenge | During training auditors learn, among other things, to prepare each audit and behave kindly. What is the best behavior among the possible examples given below:  Solution 1. Have a thorough knowledge of the audited process, do not refrain from distributing expert advice, look for discrepancies in procedures  Solution 2. Search for discrepancies in procedures against the requirements of the standard, be very strict with the documentation  Solution 3. Ask simple and clear questions, listen to the auditee carefully, perform a documentation review beforehand, comply with the audit plan, don’t distribute opinions |
| Solution 1 | false  Comment  The auditor does not know, the auditee is the one who knows fully the activities of the process!  The auditor asks questions to learn. The auditor should never distribute advice. Looking for discrepancies in procedures is a practice of the 1990s. |
| Solution 2 | false  Comment  Neglecting the workshop in favor of the documentation is not commendable behavior!  Looking for discrepancies in procedures is a practice of the 1990s. A process may be effective without much documentation. |
| Solution 3 | true  Comment  This is the best behavior to have!  The auditor should be curious, attentive and have lots of other qualities to achieve the objectives of an audit: improve the management system performance. |

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| **Title 20** | **Audit program T 35 - T 42** |
| Introduction | **How to control the risks associated with the audit program**  Scope: production or service company  Target group: director, QSE manager, auditors |
| Situation | Mr. Thehand, director of the company Nicetoy, as the client of internal audits, asks Mr. Thenose, QSE manager, to control the risks associated with achieving the objectives of the audit program. |
| Challenge | Last year, the director, Mr. Thehand, appointed Mr. Thenose as the person in charge of managing the audit program. From the examples of solutions listed below, which paths about risk control associated with the audit program should Mr. Thenose choose?  Solution 1 Communicating the audit program two months in advance to all auditors and auditees  Solution 2 Use quality tools without moderation  Solution 3 Monitor weekly audit outcomes, proposed actions and actions follow-up  Solution 4 Improve the audit procedure |
| Solution 1 | True, Comment  Communicating earlier the audit program to all those involved avoids the risks associated with the lack of people to carry out audits!  Auditors and auditees will be available when they are notified well in advance. |
| Solution 2 | False, Comment  Quality tools are numerous, some are even related to risk management, but it is better to rely on common sense!  Favoring simple solution is often the best choice. Simple is beautiful, complex is ugly. Richard Koch. |
| Solution 3 | True, Comment  Monitoring the smooth conduct of the audit program weekly avoids any risk of drift (delay or omission)!  The achievement of objectives of the audit program requires regular monitoring of the implementation and audit outcomes. |
| Solution 4 | False, Comment  Improving the audit procedure is not a guarantee that this will help us achieve the objectives of the audit program!  Controlling the risks associated with the audit program consist mainly of identifying anything that may endanger the activities to:  • establish  • implement  • monitor and  • review the audit program |

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| **Title 10** | **Auditor question T 35 - 42** |
| Introduction | **How to ask an audit question properly**  Scope: production and service company  Target group: director, HRD, QSE manager, auditors |
| Situation | Mr. Thehand, director of the company Nicetoy, as the client of internal audits, asks Ms. Thearm, human resources director, to carry out training to improve the competence of internal auditors. Ms. Thearm knows from Mr. Thenose, QSE manager, that an audit can bring added value when the auditor knows how to ask the right persons the right questions. |
| Challenge | Which of the following questions may be the right ones to ask:  Question 1. Can you show me implemented improvements of your process since last year’s audit?  Question 2. What improvements of your process can you suggest?  Question 3. If we changed the old manual machine with a new automatic machine what would be the performance improvement of your process?  Question 4. Is communication on management commitment working at all levels? |
| Solution 1 | true  Comment  Asking to see improvement results is a good question to ask!  It is a way to find new opportunities for improvement together. |
| Solution 2 | false  Comment  Never ask such a question!  The auditor asks questions to learn and does not directly ask the auditee to find improvements. The auditee may list claims (more means, more staff, better pay , less work) that the auditor is not expected to answer. |
| Solution 3 | false  Comment  If ifs and ands were pots and pans there'd be no need for tinkers  The auditor should avoid asking “if” questions because it is a slippery slope and moves the audit away from reality. Anyhow, regardless of the response of the auditee, this could not be verified. |
| Solution 4 | false  Comment  Avoid closed question!  The auditee can easily answer "yes" and we will not progress further. This question is best asked differently: How would you assess the functioning of the communication on management commitment at all levels? |

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| **Title 18** | **Audit report T 35 - T 42** |
| Introduction | **How to write the audit report properly**  Scope: production or service company  Target group: director, QSE manager, auditors |
| Situation | Mr. Thehand, director of the company Nicetoy, as the client of internal audits, asks Mr. Thenose, QSE manager, to carry out refresher training on internal audit basics to improve audit reports. |
| Challenge | During the training, auditors learn, among other things, to produce audit reports with added value. Which is the right method to choose between the examples of possible solutions listed below:  Solution 1. Enumerate by priority all identified gaps  Solution 2. Include proposals for corrective actions to implement  Solution 3. Include opinions for improvement  Solution 4. Include recommendations on improvement opportunities |
| Solution 1 | False  Comment  Focusing on the gaps and their classification is valid for external audits (certification)!  Searching for gaps during an internal audit so as to rank them in order of importance is a waste of time and resources. Finding a progress track together (auditor and auditee) to overcome a gap is much more appropriate. |
| Solution 2 | False  Comment  The auditee is the only one to decide what action to implement when an opportunity for improvement is found!  Any improvement action will be implemented after the audit. In the audit report, we only include the title of the action, the person in charge, and a deadline. |
| Solution 3 | False  Comment  Omit any personal opinion (even about improvement) in the audit report!  Each opinion is subjective and is not based on verifiable facts. Formulating and proposing recommendations is another thing. |
| Solution 4 | True  Comment  Any recommendation for improvement can be only beneficial!  The auditor makes recommendations to the auditee. After discussion, the auditee commits to implementing actions to take advantage of the opportunity found during the audit. |

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| **Title 42** | **Audit finding T 35 - 44** |
| Introduction | **How to determine an audit finding**  Scope: Production or service company  Target group: Director, QSE manager, auditors |
| Situation | Mr. Thehand, director of the Nicetoy company, as a client (sponsor) of internal audits, asks Mr. Thenose, QSE manager, to carry out refresher training on internal audit basics to improve the efficiency of the internal audit. |
| Challenge | During the training auditors learn, among other things, to:  Solution 1. Determine audit findings by evaluating audit evidence against the audit criteria  Solution 2. Use audit questionnaires without moderation  Solution 3. Reach agreement on audit findings with the auditee or record discrepancies in the audit report  Solution 4. Take into account that an audit finding can indicate conformity or nonconformity with audit criteria |
| Solution 1 | True  Comment  Audit evidence is evaluated against the audit criteria and transformed into audit findings!  The audit conclusions in the audit report are based on the audit findings. |
| Solution 2 | False  Comment  The audit questionnaire is not a sociological questionnaire!  Reading the questionnaire during the audit shows a lack of preparation by the auditor. |
| Solution 3 | True  Comment  Reaching an agreement on the audit findings with the auditee is the best solution!    When there are conflicting views on the audit findings, do not dwell too long and record the different points of view. |
| Solution 4 | True  Comment  When the audit finding indicates conformity it is an opportunity for improvement, when the audit finding indicates nonconformity it is a risk!    The audit finding will help us to seize an opportunity or reduce a risk. |

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|  | **Management review T 35 - 42** |
| Introduction | **How to audit top management**  Scope: production or services company  Target group: company director, team leader, QSE manager, auditors |
| Situation | Mr. Thenose, QSE manager of the company Nicetoy, reminds Ms. Theleg, team leader, that as part of the audit program, she must carry out the process audit "Developing the management system." this week. The auditee is Mr. Thehand, the director.  Ms. Theleg has been preparing for this key audit for a few weeks. |
| Challenge | Ms. Theleg discusses possible ways to carry out an audit with added value with Mr. Thenose. What is the right path to follow?  Solution 1. Ask:   * why the company policy is outdated? * what is the personal contribution of Mr. Thehand in achieving objectives? * what is the feedback from the most important customers?   Solution 2. Compare the numbers of the last two management reviews. Ask Mr. Thehand questions on deployment of objectives in the company and the results obtained. Ask what the customer feedback is. Try to find improvement opportunities.  Solution 3. Ask what the follow-up actions of the last management review are. Who is responsible for communicating the decisions of the management review? What evidence can Mr. Thehand show on improvements made ​​since the last management review? Ask what the feedback from the most important customers is.  Solution 4. Ask:   * what is the added value of the management review? * what are the priorities for improving the management system? * is the annual frequency of management reviews sufficient to develop the management system? * what is the feedback from the most important customers? |
| Solution 1 | False  Comment  When we audit top management, we must be cautious, diplomatic and caring!  Never start a question with why. The policy will be amended and approved at the next management review. Contribution to the achievement of objectives is the responsibility of all staff. All customers are important. |
| Solution 2 | true  Comment  Having reviewed the numbers in your head as a prerequisite is good audit preparation!  Using facts (numbers) allows one to speak concretely. Finding improvement opportunities together can only be a contribution to the development and improvement of the management system. |
| Solution 3 | false  Comment  When we audit top management, we must be cautious, diplomatic and caring!  We must check the situation of actions before asking the question. The QSE manager notifies the decisions of the management review to all personnel. Requesting the Director to provide evidence of improvements is not very clever. It is better to discuss the trends and find new improvement opportunities. All customers are important. |
| Solution 4 | false  Comment  When we audit top management, we must be cautious, diplomatic and caring!  Mr. Thehand will be happy to answer on the need for management review, but this answer will not help advance the development of the management system. Talking about priorities for improvement suggests that you have not read the last report of the management review. The frequency of management reviews is a collective decision taken before the certification audit. No change shows that this decision does not make sense. All customers are important. |

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| **Title 6** | **Nonconformities T 15, T 16, T 19** |
| Introduction | **How to eliminate the cause of a nonconformity**  Scope: production company  Target group: quality director, production manager, quality manager, team leader |
| Situation | On Tuesday morning, Mr. Theback, the production manager at Nicetoy, calls Mr. Thenose, quality manager, due to high rates of nonconformities on the MX2 machine from early that morning. Mr. Thenose immediately warns Ms. Thecheek, quality director. An on-site meeting is held with Mr. Theback and Mr. Theleg, team leader. |
| Challenge | Together they must identify and eliminate the cause of the nonconformities:  1. The documentation of the process of the MX2 machine is badly translated. Request a new translation of the manual of the machine  2. The training of the two operators has not been done ​​for this machine. Ask Mr. Theleg to finish today’s production and train the 2 operators on the spot  3. Discipline is weak in this working group. Propose to reduce the bonuses of these 2 operators and that of Mr. Theleg |
| Solution 1 | False  Comment  The documentation is not the cause because the day before with the same machine and the same translation there was not a high rate of nonconformities!  Requesting a new translation of the manual of the machine is a total waste and will not solve the problem (train operators) |
| Solution 2 | True  Comment  This is the cause of the high rate of nonconformities!  First the 2 operators must be trained as a priority matter if we want to reduce the number of nonconformities. Then organize training for all the operators likely to work on the machine MX2 |
| Solution 3 | False  Comment  Discipline is not the cause of the high rate of nonconformities!  Reducing bonuses is not appropriate because the lack of training (the leading cause of nonconformities) falls within the responsibilities of management (quality manager, production manager) |

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| **Title 3** | **Kaizen and problem T 15 – T 22 T 45 - 50** |
| Introduction | **How to solve a problem**  Scope: production company  Target group: Maintenance manager, team leader, technician, provider |
| Situation | It’s 9 am in the company Nicetoy. Ms. Theleg, team leader of workshop 2, informs the maintenance manager, Mr. Thearm, that the assembly machine Automatix started making an unusual noise and then stopped. She changed the fuse, but the new fuse (with the same rating) blew immediately. |
| Challenge | Mr. Thearm must choose which path to follow:  1. First variant (1h 35)  a. Mr. Thearm goes directly to see the problem wth the assembly machine Automatix  b. He inspects the machine, looks at the maintenance release, the rate of waste, the average down time between failures and asks Ms. Theleg if something has been changed recently. Negative response  c. He decides to stop the machine before seeking the cause  d. Along with Ms. Theleg and the technician, Mr. Theneck, they find the root cause by asking some logical questions:       i. Why has the fuse blown? overcurrent       ii. Why is the current too high? engine overheating       iii. Why has the engine overheated? bearing worn       iv. Why is the bearing worn? dust entry       v. Why does dust enter? cracked cover  e. Mr. Thearm gets a new bearing, replaces the old one and fills the crack of the cover with a high temperature resin. He fills in the curative maintenance release  f. He changes the maintenance instruction adding that at the onset of a crack on a cover you have to change the cover or reinforce it with resin  2. Second variant (1h 10)  a. Mr. Thearm finds the Automatix machine workbook to help him remember the maintenance steps and checks the date of the last maintenance, and the average down time between failures on his computer  b. He calls Mr. Toofar, Automatix machinery distributor, and asks him what the most common failures are. He receives a rather approximate answer that teaches him nothing new  c. He goes into workshop 2 and after trying 3 fuses understands that the bearing is faulty and changes it  d. Mr. Thearm fills in the curative maintenance release |
| 1. First variant | True, comment  He spent more time, but he won’t have to fix it again anytime soon!  Mr. Thearm is very clever!  He respected the Kaizen method of problem solving.  He went to the field (Gemba) first and verified the facts.  He surrounded himself with a team to solve the problem.  He used the 5 P tool to quickly find the root cause.  He eliminated the root cause (cracked cover).  He standardized the good practice (lesson learned) so that the same problem can not recur in the workshop. |
| 2. Second variant | False, comment  He did not find the root cause and will soon return to change the bearing again.  Mr. Thearm is not very smart!  He worked alone.  He has confused cause and effect.  No lesson learned, no good practice spread. |