

1. The tracing method involves:

- Following a process forward or backward to verify conformance
- Auditing one department only
- Linking elements to a standard
- Random exploration of the site

2. Forward tracing is best used to:

- Verify how raw materials flow through to final product
- Investigate a defective unit
- Audit one department in depth
- Audit one element of a standard

3. The process approach focuses on:

- The flow and interactions of steps within one process
- One department only
- All quality system elements at once
- Random observations

4. Process-based management is most appropriate when:

- Conducting a system-wide audit aligned with a standard like ISO 9001
- Auditing a single process
- Looking at a single element only
- Conducting an unplanned inspection

5. The department method:

- Narrows audit scope to a single department or function
- Audits the entire system at once
- Links to a single standard requirement only
- Follows random threads

6. The limitation of the department method is:

- It does not naturally reveal cross-functional interactions
- It always misses findings
- It is the least useful method
- It is too thorough

7. The element method works well when:

- Verifying alignment to a specific section of a standard
- Auditing the entire quality system
- Following a process forward
- Surfacing hidden issues

8. The discovery method:

- Stays alert to unusual signals and pulls on threads to expose hidden risks
- Follows a defined path strictly
- Audits one element only
- Audits one department only

9. Scenario: An audit needs to verify ISO 9001 supplier management requirements. Which is most appropriate?

- Element method
- Department method
- Discovery method
- Process-based management

10. In real-world audits:

- Multiple strategies are often combined depending on the objective
- Only one strategy can be used per audit
- Strategy choice is irrelevant
- Strategies are selected by the auditee

QUIZ 6.8 — ANSWERS & RATIONALES

- 1. Following a process forward or backward to verify conformance** - Tracing is the most direct way to evaluate whether a process is working as designed.
- 2. Verify how raw materials flow through to final product** - Forward tracing starts at the input and follows the process to its output.
- 3. The flow and interactions of steps within one process** - Process approach evaluates how a single process operates end to end, not just individual steps.
- 4. Conducting a system-wide audit aligned with a standard like ISO 9001** - Process-based management evaluates how processes connect across the system, not just individual processes.
- 5. Narrows audit scope to a single department or function** - The department method gives depth in one area but trades breadth in cross-functional interactions.
- 6. It does not naturally reveal cross-functional interactions** - Issues that live at the seams between departments can stay hidden because the audit boundary stops at the department line.
- 7. Verifying alignment to a specific section of a standard** - Element method is focused: pick a section of a standard, find the implementation, verify alignment.
- 8. Stays alert to unusual signals and pulls on threads to expose hidden risks** - Discovery is exploration. Used well, it surfaces issues planned strategies miss. Used poorly, it becomes a fishing trip.
- 9. Element method** - When you are linking a specific section of a standard to its implementation, the element method is the right fit.
- 10. Multiple strategies are often combined depending on the objective** - Strong auditors blend strategies based on what the audit needs and what they observe in the moment.