

**Questionnaire to prepare for a Certification Audit for
Environmental Management Systems (EMS)**

1 General Details

With the help of this questionnaire you can provide a detailed description of your company.

The questionnaire will be used by the certification body to establish whether the prerequisites of a certification audit have been fulfilled. It is either filled in by the company and/or completed by the auditors during the pre-visit.

1.1 Company Data

Please enclose company brochure.

Company _____

Address _____

Contact Person _____

EM Representative _____

Telephone _____ Extension _____

Fax _____ Email _____

1.2 Company Structure

Legal Form _____

Multisite Certification? _____

List or name of site : _____

Industrial Sector _____

Main Products/Services _____

Main Raw Materials and purchased Parts used or processed:

Manufacturing
Process(es): _____

Shift Operation? _____

Turnover last Year: _____ Percentage Exports last Year: _____

Memberships in
Industrial Associations: _____

Number of employees at the following locations:			
Research / Development / Design			
Production			
Administration			
Quality/Testing			
Environmental Protection			
...			

- an organisational chart of the entire company or the organisational units to be audited has been attached yes no

- Have you received consultancy services? yes no

If **yes**, by whom? _____

- Is the environmental management system integrated in an existing management system?

If **yes**, in which? _____

- Is there a separate manual for the environmental management system
 an integrated management manual for all systems (EMS and QMS)?

Number	of procedures	
	of working instructions	
	of other instructions	

relating specifically to environmental aspects

- Is there a group wide manual? yes no not applicable

- Have the manuals of the subsidiaries been derived from the group manual? yes no not applicable

- What type of audit are you interested in?

- a certification audit according to ISO 14001
- a certification audit of an integrated management system
- not yet decided

- Which standards and specifications, codes, legal requirements, etc. are relevant for your company?

- Does the company possess valid permits/licenses and certificates? If yes, please cite these (where applicable, use short description or a separate sheet):

(Please attach to the questionnaire a binding declaration which confirms that all the activities of the company are approved by the responsible bodies, where necessary. Where facilities or plant systems are operated at present without a valid permit, please state the reason for this and the date by which obtainment of a permit is expected.)

- Does a description of the manufacturing program which identifies the environmental impacts, exist? Please enclose brochures, scope of services, etc., (use brief description or separate sheet, where necessary). yes no

(A description of the processes and work operations applied within the company which illustrates the environmental impact that may be caused by the company must be submitted with the documentation for preparation for the certification audit. This relates, for instance, to points at which by-products and waste, noise and air-pollutant emissions are produced, points of wastewater discharge, potentials for soil contamination and environmental impacts resulting from the product itself.)

Which organisational units are to be certified?

Organisational Unit

- Entire company including all locations and branches
- Entire company except the following organisational units/locations/branches
- Only the following organisational unit:

For how long has the EM system been practised?

Please state your requirements for the certificate date?

- Do you request a pre-audit? yes no

2 Detailed Information about the Company

- Do you maintain emission reducing systems and facilities?
 yes no

- If **yes**: which?

- What systems and facilities do you maintain to ensure the energy supply of the location (fuel, system output in kW or MW)?

- Does the plant cause pollution (e.g. odour or noise) affecting neighbours?

- What types of waste water are relevant (e.g. surface and meteor waters, cooling waters, sewage containing excrement, industrial effluent)?

- Does the location discharge its waste water
directly indirectly

- Does the company maintain its own waste-water treatment plant?

- Which of the documents listed below are already on hand?

Document	Remarks (e.g. name of the person who prepared the document, date of preparation, etc.)
Environmental review report	
Environmental audit report	
Environmental statement	
Environmental policy	
Environmental objectives	
Environmental programs	
EMS manual	
Organisational manual	
Certified QM system	
Emission substance sheet	
Waste management concept	
Safety analysis	
Expert opinion on fire protection	
Environmentally-relevant technical expert opinions (e.g. noise measurement, etc.)	
Register on laws and official requirements	

3 Declaration of the Company

We herewith declare that all activities and facilities of the company, which require permissions by environmental or other laws and regulations, have been approved by the responsible authorities. These permits have been identified, obtained and are available for review in the company. The requirements connected with these permits are being followed by the company.

There are no ongoing environmental lawsuits pending against the company or the company's management:

Yes No

(If no, please list the concerned activities, facilities or suits together with a brief explanation. Please also list the deadlines until all required permits will be present, or until all requirements will be followed and all pending suits will be closed.)

Date

Stamp / Signature Company

ANNEX 1 – GENERAL QUESTIONS

Please answer the following questions before the commencement of the certification audit. The questions serve as a guideline for the successful preparation of the audit. You may add any remarks to the questions as you see fit.

Please submit additional documents to those questions marked either by ➤ or which are written in *italics*. If not already enclosed with the attachments, please also submit a current organisation chart and an overview over the most important processes in your company.

The successful evaluation of this questionnaire is a pre-requisite for the certification assessment in your company.

- Have the quality policy and detailed, measurable quality objectives been defined?

yes	no	partially
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- Are customers requirements researched, established and implemented?

yes	no	partially
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- Have the authorities and responsibilities within your organisation been defined and documented?

yes	no	partially
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- Has internal communication between the different functions of your organisation been defined, documented and established?

yes	no	partially
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- *Has the management system been defined in a manual?*

yes	no	partially
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- *Is the control of documents and data described in a procedure?*

yes	no	partially
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- *Is the control of quality records described in a procedure?*

yes	no	partially
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- Has a management review been conducted, and have the resulting tasks been implemented?

yes	no	partially
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- Have training needs been determined? Have the required training measures been implemented and reviewed for effectiveness?

yes	no	partially
-----	----	-----------

- Have the resources required for customer satisfaction and process implementation and improvement been determined and provided?

yes	no	partially
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- Is the work environment adequate for the compliance with product and customer requirements?

yes	no	partially
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■ Are the product realisation processes being measured and monitored?

yes	no	partially
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■ Are customer requirements for products determined? Has a regular communication with customers been established for this purpose?

yes	no	partially
-----	----	-----------

■ Are product characteristics being measured and monitored?

yes	no	partially
-----	----	-----------

■ Is there a system to measure and analyse data of the performance of the management system (e.g. compliance with customer requirements, process and product characteristics etc.)?

yes	no	partially
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■ Is customer satisfaction being measured and monitored?

yes	no	partially
-----	----	-----------

➤ *Are internal quality audits described in a procedure?*

yes	no	partially
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➤ *Is the control of non-conforming product described in a procedure?*

yes	no	partially
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■ Are there plans and processes for the continual improvement of the management system?

yes	no	partially
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➤ *Are corrective actions described in a procedure?*

yes	no	partially
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➤ *Are preventive actions described in a procedure?*

yes	no	partially
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ANNEX 2 – MULTISITE CERTIFICATION

The following questions only need to be answered if your management system covers several locations, sites or branches which should be covered by the certification:

The completion of these questions allows us to determine whether the multi-site certification procedure may be used for the audit.

Total number of sites		Average size of sites			<input type="checkbox"/> Interested in Multisite/Sampling Certification <input type="checkbox"/> Not interested in Multisite/Sampling Certification	
Head Office	Size of Site 1	Size of Site 2	Size of Site 3	Size of Site 4	Size of Site 5	Size of Site 6
Location	Location	Location	Location	Location	Location	Location

- Shall all locations / sites/ branches listed on page 1 of this questionnaire be included in the certification?

yes no partially

- Do all locations / sites/ branches use identical or comparable production processes?

yes no partially

- Do all locations / sites/ branches use the same or comparable raw materials or production materials?

yes no partially

- Have all locations / sites/ branches been subject to a complete internal audit, and are the results of these audits available?

yes no partially

- Is there a common management review for all locations / sites/ branches?

yes no partially

- Does all management personnel involved in the environmental management system have identical access and authority at all locations / sites/ branches?

yes no partially

Evaluation by the Certification Body

1. Company details complete?

yes no Remarks / additionally required information:

2. Attached documents complete?

yes no Remarks / additionally required information:

3. Implementation and application of the management system sufficient?

(Based on the results of the details given in the annex)

yes no Remarks / additionally required information:

4. In case of multisite certification

Number of sample site need to be audited: _____ sites

Jakarta, _____

Place / Date

Auditor Signature