

**Questionnaire to prepare for a Certification Audit for
Energy Management System (EnMS)**

1 Purpose

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 stage 1 audit.

1.1 Company Data

Please enclose company brochure.

Company _____

Address _____

Contact Person _____

QM Representative _____

Telephone _____ Extension _____

Fax _____ Email _____

1.2 Company Structure

Legal Form _____

Multi sites certification? _____

List or name of sites: _____

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: _____

- 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 Energy Management System integrated in an existing management system?
If **yes**, in which? _____
Is there ☐ a separate manual for the Energy Management System
☐ an integrated management manual for all systems (QMS, EMS, EnMS)?
- 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 50001 : 2011
☐ a certification audit of an integrated management system (QMS, EMS, EnMS)
☐ not yet decided
- What kind of certification are you interested in?
☐ Single-site certification, please fill in Annex 1 as well
☐ Multi-site certification, please fill in Annex 2 as well

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(s):

For how long has the EnMS been practised?
Please state your requirements for the certification date?

- Do you request a pre-audit? ☐ yes ☐ no
- Which of the documents listed below are already on hand?

Document Type	Remarks (e.g. document title, revision etc..)
Management review report	
Internal audit report	
Energy policy	
Energy objectives	
Energy planning	
Energy Review	
Energy objectives, energy targets and energy management action plans	
EnM manual	

2 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 EnM policy been defined and documented?*

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?

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- *Has the management system been defined in a manual according to clause 4.1 of ISO 50001:2011?*

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- *Is the control of documents and data described in a procedure?*

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- *Is the control of quality records described in a procedure?*

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Has a management review been conducted, and have the resulting tasks been implemented?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have training needs been determined? Have the required training measures been implemented and reviewed for effectiveness?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- *Have the organization conducted and documented an energy planning process?*

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization identified, implemented and had access to the applicable legal requirements other requirements to which the organization subscribes related to its energy use, consumption and efficiency?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization documented the methodology and criteria used to develop the energy review?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization documented and updated the action plans at defined intervals?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization identified and planned those operations and maintenance activities which are related to its significant energy uses and that are consistent with its energy policy, objectives, targets and action plans?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization considered energy performance improvement opportunities and operational control in the design of new, modified, and renovated facilities, equipment, systems and processes that can have a significant impact on its energy performance?

yes <input style="width: 40px;" type="text"/>	no <input style="width: 40px;" type="text"/>	partially <input style="width: 40px;" type="text"/>
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- Have the organization defined and documented energy purchasing specifications, as applicable, for effective energy use?

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT

Form Title : FEn-TNI-001
Revision No. : 1
Effective Date : 15.09.2015
Page : 5 of 6

	yes	no	partially
➤ Are internal audits described in a procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
➤ Is the control of non-conforming product described in a procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
■ Are there monitoring and measurement of the key characteristics?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
➤ Are corrective actions described in a procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
➤ Are preventive actions described in a procedure?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Please filled in the questions in Annex 1 for single site certification or Annex 2 for multi-site certification and attach all documents required in the section 2 (General Question)

Signed by:

Place/Date

Stamp/Signature

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

Head of CB/Auditor Signature

ANNEX 1 – SINGLE SITE CERTIFICATION

▪ **Technical Area of EnMS Certification :**

- | | |
|---|--|
| <input type="checkbox"/> Industry – light to medium | <input type="checkbox"/> Transport |
| <input type="checkbox"/> Industry – heavy | <input type="checkbox"/> Mining |
| <input type="checkbox"/> Buildings | <input type="checkbox"/> Agriculture |
| <input type="checkbox"/> Building Complexes | <input type="checkbox"/> Energy Supply |

▪ **Scope¹⁾ & Boundaries²⁾ of EnMS Certification :**

▪ **Personnel that contribute to Energy Performance**

Personnel who materially impact the EnMS	Number of the EnMS Effective Personnel
TOP Management	
Management Representative(s)	
Energy Management Team	
Person(s) responsible for major changes affecting energy performance	
Person(s) responsible for developing for major changes affecting energy performance	
Person(s) responsible for developing, implementing or maintaining energy performance improvements including objectives, targets and action plans	
Person(s) responsible for significant energy uses ³⁾	
Total Number of the EnMS effective personnel	

▪ **EnMS complexity**

1. Annual energy consumption⁴⁾ (TJ) : TJ

Range : ☐ ≤ 200 TJ ☐ 200 TJ ≤ 2.000 TJ ☐ 2.000 TJ ≤ 10.000 TJ ☐ > 10.000 TJ

Details :

2. Number of energy sources⁵⁾ :

Range: ☐ 1 to 2 energy sources
☐ 3 energy sources
☐ ≥ 4 energy sources

Details :

3. Number of significant energy uses⁶⁾ (SEUs): SEUs

Range : ☐ ≤ 5 SEUs
☐ 6 to 10 SEUs
☐ 11 to 15 SEUs
☐ ≥ 16 SEUs

Details :

Note:

- 1) Scope means an extent of energy uses and related activities, facilities and decisions that the organization addresses through an EnMS, which can include several boundaries. The scope can include energy related to transport. For example, organisation; facility(-ies), equipment, system(s), process(es).
- 2) Boundaries mean a physical or site limits and/or organizational limits as defined by the organization. For example: a group of processes; a site; an entire organization; multiple sites under the control of an organization; The whole site and all energy using systems; the boiler plant; the vehicle fleet.
- 3) Person(s) responsible for significant energy uses might not be considered as EnMS effective personnel depending upon the impact their actions could have not energy performance. It is important to understand their role and impact before including them as EnMS effective personnel.
- 4) Energy Consumption means a quantity of energy applied.
- 5) Energy Source means sources from which energy can be obtained to provide heat, light and power, such as fossil fuels (coal, lignite, peat, petroleum, natural gas, tar sands, oil shale, etc.) and non fossil fuels (wastes, water, wind, geothermal deposits, biomass, solar heat, etc.)
- 6) Significant Energy Uses (SEUs) means energy use (manner or kind of application of energy, eg. ventilation, heating, cooling, transportation, processes, production lines) accounting for substantial energy consumption and/or offering considerable potential for energy performance improvement

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT – ANNEX 2

ANNEX 2 – MULTISITE CERTIFICATION

The following questions only need to be answered if your energy 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.

Technical Area of EnMS Certification :

- | | | | |
|---|---|--------------------------------------|--|
| <input type="checkbox"/> Industry – light to medium | <input type="checkbox"/> Industry – heavy | <input type="checkbox"/> Buildings | <input type="checkbox"/> Transport |
| <input type="checkbox"/> Building Complexes | <input type="checkbox"/> Mining | <input type="checkbox"/> Agriculture | <input type="checkbox"/> Energy Supply |

Total number of sites :

Central Office / Site	Location	Annual energy consumption ¹⁾ (TJ)	Number of energy sources ²⁾	Number of significant energy uses ³⁾ (SEUs)	Scope ⁴⁾	Boundaries ⁵⁾
Central Office		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT – ANNEX 2

Form Title : FEn-TNI-001-A2
Revision No. : 0
Effective Date : 15.09.2015
Page : 2 of 5

Central Office / Site	Location	Annual energy consumption ¹⁾ (TJ)	Number of energy sources ²⁾	Number of significant energy uses ³⁾ (SEUs)	Scope ⁴⁾	Boundaries ⁵⁾
Site 1		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		
Site 2		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		
Site 3		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		
Site 4		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT – ANNEX 2

Form Title : FEn-TNI-001-A2
Revision No. : 0
Effective Date : 15.09.2015
Page : 3 of 5

Central Office / Site	Location	Annual energy consumption ¹⁾ (TJ)	Number of energy sources ²⁾	Number of significant energy uses ³⁾ (SEUs)	Scope ⁴⁾	Boundaries ⁵⁾
Site 5		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		
Site 6		<input type="checkbox"/> ≤ 200 TJ <input type="checkbox"/> 200 TJ ≤ 2.000 T <input type="checkbox"/> 2.000 TJ ≤ 10.000 TJ <input type="checkbox"/> > 10.000 TJ Details :	<input type="checkbox"/> 1 to 2 energy sources <input type="checkbox"/> 3 energy sources <input type="checkbox"/> ≥ 4 energy sources Details :	<input type="checkbox"/> ≤ 5 SEUs <input type="checkbox"/> 6 to 10 SEUs <input type="checkbox"/> 11 to 15 SEUs <input type="checkbox"/> ≥ 16 SEUs Details :		

QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT – ANNEX 2

- Shall all locations / sites/ branches listed above be included in the certification?

yes	no	partially
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- Do all locations / sites/ branches use identical or comparable processes related to significant energy uses and energy consumption?

yes	no	partially
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- Do all locations / sites/ branches use the same or comparable energy performance?

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

yes	no	Partially
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QUESTIONNAIRE TO ASSIST PREPARATION FOR AN ISO 50001 AUDIT – ANNEX 2

Form Title : FEn-TNI-001-A2
Revision No. : 0
Effective Date : 15.09.2015
Page : 5 of 5

▪ **Personnel that contribute to Energy Performance**

Personnel who materially impact the EnMS	Number of the EnMS Effective Personnel						
	Central Office	Site 1	Site 2	Site 3	Site 4	Site 5	Site 6
TOP Management							
Management Representative(s)							
Energy Management Team							
Person(s) responsible for major changes affecting energy performance							
Person(s) responsible for developing for major changes affecting energy performance							
Person(s) responsible for developing, implementing or maintaining energy performance improvements including objectives, targets and action plans							
Person(s) responsible for significant energy uses ⁶⁾							
Total Number of the EnMS effective personnel							

Note:

- 1) Energy Consumption means a quantity of energy applied.
- 2) Energy Source means sources from which energy can be obtained to provide heat, light and power, such as fossil fuels (coal, lignite, peat, petroleum, natural gas, tar sands, oil shale, etc.) and non fossil fuels (wastes, water, wind, geothermal deposits, biomass, solar heat, etc.)
- 3) Significant Energy Uses (SEUs) means energy use (manner or kind of application of energy, eg. ventilation, heating, cooling, transportation, processes, production lines) accounting for substantial energy consumption and/or offering considerable potential for energy performance improvement
- 4) Scope means an extent of energy uses and related activities, facilities and decisions that the organization addresses through an EnMS, which can include several boundaries. The scope can include energy related to transport. For example, organisation; facility(-ies), equipment, system(s), process(es).
- 5) Boundaries mean a physical or site limits and/or organizational limits as defined by the organization. For example: a group of processes; a site; an entire organization; multiple sites under the control of an organization; The whole site and all energy using systems; the boiler plant; the vehicle fleet.
- 6) Person(s) responsible for significant energy uses might not be considered as EnMS effective personnel depending upon the impact their actions could have not energy performance. It is important to understand their role and impact before including them as EnMS effective personnel.