

**Questionnaire to prepare for a Certification Audit for  
Quality Management Systems (QMS)**

**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: \_\_\_\_\_

Number of employees at the following locations:			
Research / Development / Design			
Production			
Administration			
Quality/Testing			
Maintenance			
Marketing			
HRD			

- 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 quality management system integrated in an existing management system?  
     If **yes**, in which? \_\_\_\_\_
  
- Is there  a separate manual for the quality management system  
                    an integrated management manual for all systems (QMS and EMS)?
  
- 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 9001 : 2008  
      a certification audit of an integrated management system (QMS and EMS)  
      not yet decided
  
- Scope of Certification / Application of the Management System  
     \_\_\_\_\_  
     \_\_\_\_\_
  
- Exclusions from Clause 7 of ISO 9001 : 2008 and Reasons for Exclusions

**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):

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

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▪ 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	
Quality policy	
Quality objectives	
Quality programs	
Quality manual	
Organisational manual	

Please also answer the questions in Annex 1 and attach all documents required in the Annex.

**Signed by:**

\_\_\_\_\_

Place/Date

\_\_\_\_\_

Stamp/Signature

**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	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Are customer requirements researched, established and implemented??

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Have the authorities and responsibilities within your organisation been defined and documented?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Has internal communication between the different functions of your organisation been defined, documented and established?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- *Has the management system been defined in a manual according to clause 4.2.2 of ISO 9001:2008?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- *Is the control of documents and data described in a procedure?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- *Is the control of quality records described in a procedure?*

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Has a management review been conducted, and have the resulting tasks been implemented?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Have training needs been determined? Have the required training measures been implemented and reviewed for effectiveness?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Have the resources required for customer satisfaction and process implementation and improvement been determined and provided?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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- Is the work environment adequate for the compliance with product and customer requirements?

yes	<input type="checkbox"/>	no	<input type="checkbox"/>	partially	<input type="checkbox"/>
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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
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■ Are product characteristics being measured and monitored?

yes	no	partially
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■ 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
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➤ *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:

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**2. Attached documents complete?**

yes    no    Remarks / additionally required information:

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**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:

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**4. In case of multisite certification**

Number of sample site need to be audited: \_\_\_\_\_ sites

Jakarta, \_\_\_\_\_

*Place / Date*

\_\_\_\_\_  
*Auditor Signature / Head of CB*