



Questionnaire to assist preparation for a certification audit

Page 1 of 6

Part 1: General details

Questionnaire to prepare for a certification audit for environmental management systems

With the help of this questionnaire you can provide a detailed description of your company. The questionnaire will be used by the certification body for assessment within the scope of Phase 1 of the certification procedure to establish whether the prerequisites of a certification audit have been fulfilled.

1 Company data:

(Please enclose company brochure; in the case of joint certification of the environmental management system with the quality management system, only the questions marked with an asterisk (*) in Part 1 of the questionnaire must be answered. In part 2 all questions must be answered.)

Company _____
Address _____

Contact person _____
*EM representative _____

Telephone _____ Extension _____
Telefax _____ Telex _____

2 Company structure

Legal form _____
Member of company group? _____
Branches or depots/subsidiaries
in Germany _____
in other countries _____
EAC industry _____
Main products _____
Main raw materials and purchased parts used or processed:

Manufacturing process(es) _____



Questionnaire to assist preparation for a certification audit

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 | | | |
| | | | |

Please enclose any organizational charts of the entire company or the organizational units to be audited.

* 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?

| | | |
|---------|-------------------------|--|
| *Number | of procedures | |
| | of working instructions | |
| | of other instructions | |

relating specifically to environmental aspects

* Is there a group manual? yes no not applicable

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



Questionnaire to assist preparation for a certification audit

Page 3 of 6

* What type of audit are you interested in?

- a pre-audit
- a certification audit
- not yet decided

Which EC directives apply to your products?

* 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 exist?
Please enclose brochures, scope of services, etc., (use brief description or separate sheet, where necessary):

(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.)



**Questionnaire to assist
preparation for a
certification audit**

* Which organizational units are to be certified?

Organizational unit

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

* For how long has the EM system been practiced?

* Please state your requirements for the certificate date?

* Do you request a pre-audit?

yes

no



Questionnaire to assist preparation for a certification audit

Page 5 of 6

Part 2: More detailed information about the company
(Details relating to the questions outlined on page 3 of the questionnaire)

* Do you also request environmental verification as per EC Regulation No 1836/93?

yes no

* If "yes": To which NACE code(s) as per the statistics on economic sectors in the EC according to regulation (EEC) no. 3037/90 can the company be ascribed to?

* 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. odor or noise) affecting neighbors?

* 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?

* Are plants involving certain hazards operated in line with the 12th BImSchV (Federal Air-Pollution Control Act) (Regulations on accidents)? (Reasons for hazardous characteristics -- list of all substances including quantities)?

* Which representatives/agents have been employed -- both required by law and others (e.g. as per Article 52a BImSchG (Federal Air Pollution Control Act) / 5th BImSchV (Regulation on Air-Pollution Control), Article 21a WHG (Act on Water Resources), Article 54 KrW-/AbfG (Act on Recycling and Act on Waste Management)).



Questionnaire to assist preparation for a certification audit

* 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 | |
| * Organizational 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 | |

Date _____ Company stamp/signature _____