



# MANAGEMENT SYSTEMS QUESTIONNAIRE

  
  
  
  
  
  
  

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- Certification to ISO 9001 – Complete Sections 1, 2, 3-14
- Certification to ISO TL 9000 – Complete Sections 1, 2, 3-14
- Certification to ISO AS 9100D – Complete Sections 1, 2, 3-14 (Additional OCAP Form will be required)
- Certification to ISO 14001/RC14001/RCMS – Complete Sections 1, 2, 3-14, 15
- Certification to ISO 45001 – Complete Sections 1, 2, 3-14, 15
- Certification to ISO 50001 – Complete Sections 1, 2, 3-14, 16
- Certification to ISO 20000-1 – Complete Sections 1, 2, 3-14, 17
- Certification to ISO 27001 – Complete Sections 1, 2, 3-14, 18
- Certification to CMMC – Complete Sections 1, 2, 3-14, 18

- Multi-Site Sampling Designation – Complete Section 3
- Virtual Site Designation – Complete Section 4
- Integrated Management System – Complete Section 5 – Please complete individual Standard sections
- Registration and Transfer Data – Complete Section 6



# MANAGEMENT SYSTEMS QUESTIONNAIRE


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## 2.0 Locations within the Management System:

Please list the Total Number of Personnel within Scope and the associated activities. (Contract, Seasonal and Part Time Employees Apply)

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If NO – Please describe activities per shift: Please submit a location spreadsheet if you need additional space.



# MANAGEMENT SYSTEMS QUESTIONNAIRE

## CONTACT INFORMATION

Name: \_\_\_\_\_ Title: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Email: \_\_\_\_\_


Please submit a contact spreadsheet if you need additional space.

## GENERAL INFORMATION

(6 12)

Does your organization have a contractual link with the central office of the organization and are they subject to a common management system, which is laid down, established, and subject to continuous surveillance?

 

Is your organization's management system under a centrally controlled location and administered plan and subject to central management review?

 

Is the same management system policy and documentation in effect applicable to all locations?

 

Are internal audits conducted at all locations and are they scheduled and reviewed centrally?

 

Can your organization demonstrate its ability to collect and analyze data from all sites, including the central office?

 

Has the organization demonstrated its authority and ability to initiate organizational change, if necessary, in any of the items listed above?

 

## VIRTUAL LOCATIONS

A Virtual location is where a client organization performs work or provides a service using an on-line environment allowing persons irrespective of physical locations to execute processes. A virtual site cannot be considered where the processes must be executed in a physical environment, e.g., warehousing, manufacturing, physical testing laboratories, installation or repairs to physical products.



# MANAGEMENT SYSTEMS QUESTIONNAIRE

Do you Performs work or provide a service using an on-line environment?

(6      12)

 

Have no requirements for a physical environment

 

Have no warehousing requirements

 

Have no manufacturing requirements

 

Conduct no physical testing(i.e. Laboratory Functions)

 

Perform no Installation/Servicing or Repairs to physical products

 

## QWHUDWHODQDHPHQWVWHPV

If registering to more than one standard:A single management system managing multiple aspects of organizational performance to meet the requirements of more than one management standard, at a given level of integration. A management system may range from a combined system adding separate management systems for each set of audit criteria/standard, to an Integrated Management System, sharing in single system documentation, management system elements, and responsibilities.

(6      12)

Do you have an Integrated Management System?

 

An integrated documentation set, including work instructions to a good level of development, as appropriate;

 

Management Reviews that consider the overall business strategy and plan;

 

An integrated approach to internal audits

 

An integrated approach to policy and objectives

 

An integrated approach to systems processes;

 

An integrated approach to improvement mechanisms

 

Integrated management support and responsibilities



# MANAGEMENT SYSTEMS QUESTIONNAIRE

Please indicate if this is for initial certification or if you wish to transfer your current certification.

Provide a copy of your current certification(s).

What was the last Audit performed?

Annual Surveillance 1

Annual Surveillance 2

Recertification

What was the Date of your Last Audit?

What is the reason for seeking a transfer?

What is the Date of your Certificate's Expiration?



# MANAGEMENT SYSTEMS QUESTIONNAIRE

## FRSH

Please provide a statement defining the scope of certification being requested. The statement should reflect the scope of activities within the management system (i.e. Design and Manufacture of Pressure Regulators) If TL 9000 please provide Product Category Information.

## RQSSOLFDEOHDPHQWV

Please list any non-applicable elements to the scope of your management system (i.e. Design and Development) and provide a brief explanation/justification (i.e. Design is completed by our client) If TL 9000 please provide TL specific Non-applicable elements

## URFHVVHV

Please provide details of the key processes and operations involved in your management system.

## WVRUFHURFHVVHV

Please list any functions that are outsourced.



# MANAGEMENT SYSTEMS QUESTIONNAIRE

## Management System Certifications

Please list any existing Management System Certifications (i.e. ISO 9001; AS 9100D; TL 9000; ISO 14001; ISO 27001; ISO 20000-1; ISO 22000; CMMI, CMMC, etc.) Provide a copy of your current certification(s).

## Legal/Statutory Obligations

Please list any state or federal agencies where you may have a legal/statutory obligations that your company must comply with – this is an accreditation requirement. For OH& SMS please provide documented information that externally provided functions or processes do not adversely affect the effectiveness of the OH&SMS including the ability to control risks and legal compliance.

## Does the organization restrict foreign national entry to its locations?

(6) (12)

Does the organization restrict foreign national entry to its locations?

## Are there multiple buildings associated with this site?

(6) (12)

Are there multiple buildings associated with this site?

If Yes, number of buildings

Please approximate the Square Footage of Facility

## Are you currently using a Consultant?

(6) (12)

Are you currently using a Consultant?

Consultant Name:



# MANAGEMENT SYSTEMS QUESTIONNAIRE

Describe (or attach a copy) significant environmental/safety processes, activities, aspects, hazards and risks of your EMS/OH&SMS/RC system:

List applicable (or attach a copy) significant regulations and permits for your environmental /OH&SMS/RC management system:

Define any services provided at another organization's location where the OH&SMS system covers offsite activities including the number and activities of personnel and provide verification that your OH&SMS covers these offsite activities:

Are temporary sites ever operated, i.e. major project management sites, service/installation sites? Temporary sites shall be covered by the OH&SMS of the organization that has control of these sites, irrespective of where they are located.





# MANAGEMENT SYSTEMS QUESTIONNAIRE

Define similar or repetitive processes within the OH&SMS Scope (Sales, call centers, assembling, packaging):

## 624HVWLRQQDLUH

Please provide the following required information:

### &RPSOHLW

Energy Consumption:(Annual usage):

Energy Sources:(Number and type):

Significant Energy Usage:(Typical energy uses):

## 1PEHUBI8PSORHHV

The EnMS effective personnel are determined based on the process defined by the certification body. When the certification body defines their process for determining the numbers of EnMS effective personnel, consideration shall be given to the personnel who materially impact the EnMS, including the following:

Top Management

Management Representative(s);

Energy Management Team;

Person(s) responsible for major changes affecting energy performance;

Person(s) responsible for the effectiveness of the EnMS;

Person(s) responsible for developing, implementing or maintaining energy performance improvements including objectives, targets and action plans;

Person(s) responsible for significant energy uses.



# MANAGEMENT SYSTEMS QUESTIONNAIRE

## 6.2.1 HVWLRQQDLUH

Please list the IT services provided within the ITSMS Scope:

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Please list any existing ITSMS-related certifications (e.g. ISO 27001, ITIL):

Are there any SMS documents or records that cannot be made available for review by the audit team because they contain confidential or sensitive information. If yes, Please list

Size of the ITSMS Scope: Please list the Total Number of Personnel within the ITSMS Scope and the Associated Activities (Processes)  
If different than Section 2.0



# MANAGEMENT SYSTEMS QUESTIONNAIRE

FWLYLWLHVSHUIRUPH

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LQWHULWQDYLDELOLW

2WHU

## DESCRIPTION OF THE ISMS

Description of the ISMS: (Please select applicable level for each criteria):

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<p>Low sensitivity or confidentiality of information; low availability requirements</p> <p>Moderate sensitivity or confidentiality of information; moderate availability requirements</p> <p>High sensitivity or confidentiality of information; high availability requirements</p>	<p>Low sensitivity or confidentiality of information; low availability requirements</p>	<p>Moderate sensitivity or confidentiality of information; moderate availability requirements</p>	<p>High sensitivity or confidentiality of information; high availability requirements</p>	
<p>Few critical assets</p>	<p>Few critical assets</p>	<p>Some critical assets</p>	<p>Many critical assets</p>	
<p>Only one key business process with few interfaces</p>	<p>Only one key business process with few interfaces</p>	<p>2-3 simple business processes with several interfaces</p>	<p>More than 3 business processes with many interfaces</p>	
<p>Only one product/ service in scope</p>	<p>Only one product/ service in scope</p>	<p>2-3 products/ services in scope</p>	<p>More than 3 products/ services in scope</p>	
<p>Standard processes with repetitive tasks</p>	<p>Standard processes with repetitive tasks</p>	<p>Standard but non- repetitive processes</p>	<p>Complex processes or unique activities</p>	



# MANAGEMENT SYSTEMS QUESTIONNAIRE

	Low ISMS regulatory requirements	High ISMS regulatory requirements	High risk business with (only) limited regulatory requirements	
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Organization works in non-critical business sectors</p> <p>Organization has customers in critical business sectors</p> <p>Organization works in critical business sectors</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Other management systems are in place and certified (e.g. QMS, BCMS, ITSMS)</p> <p>Some management system requirements are in place, but not certified (e.g. QMS, BCMS, ITSMS)</p> <p>No other management system implemented at all</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Recently certified</p> <p>Previously implemented &amp; ISMS compliant</p> <p>Recent surveillance audit</p> <p>Previously implemented &amp; partially ISMS compliant</p> <p>No certification and no recent audits</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Highly standardized environment with low diversity (few IT-platforms, servers, operating systems, databases, networks, etc.)</p> <p>Standardized but diverse IT platforms, servers, operating systems, databases, networks</p> <p>High diversity or complexity of IT (e.g. many different segments of networks, types of servers or databases, number of key applications)</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>No outsourcing and little dependency on suppliers, or Well-defined, managed and monitored outsourcing arrangements</p> <p>Outsourcer has a certified ISMS Relevant independent assurance reports are available</p> <p>Several partly managed outsourcing arrangements</p> <p>High dependency on outsourcing or suppliers with large impact on important business activities, or Unknown amount or extent of outsourcing, or Several unmanaged outsourcing arrangements</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>No in-house system development</p> <p>Use of standardized software platforms</p> <p>Use of standardized software platforms</p> <p>Use of standardized software platforms with complex configuration/parameterization</p> <p>(Highly) customized software</p> <p>Some development activities (in-house or outsourced)</p> <p>High diversity or complexity of IT (e.g. many different segments of networks, types of servers or databases, number of key applications)</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
<p>Low availability requirements and no or one alternative DR site</p> <p>Medium or High availability requirements and no or one alternative DR site</p> <p>High availability requirements e.g. 24/7 services</p> <p>Several alternative DR sites</p> <p>Several Data Centers</p>				
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	



# MANAGEMENT SYSTEMS QUESTIONNAIRE

Please list the Total Number of Personnel within the ISMS Scope and the Associated Activities (Processes) If different than Section 2.0
