

## ISO 9004 2009 COMPLIANCE AUDIT TOOL

### 7. PROCESS MANAGEMENT AUDIT QUESTIONNAIRE

#### 7.1 USING A PROCESS APPROACH

1	Have you adopted a process approach to management?	YES	NO	N/A	
2	Have you established unique processes that address your organization's specific needs and accommodate its distinctive features?	YES	NO	N/A	
3	Have you established internal processes?	YES	NO	N/A	
4	Have you established outsourced processes?	YES	NO	N/A	
5	Have you created a network of interconnected processes?	YES	NO	N/A	
6	Do you use a map to describe your process network?	YES	NO	N/A	
7	Have you described your organization's processes?	YES	NO	N/A	
8	Did you define the activities that make up each process?	YES	NO	N/A	
9	Did you define process interdependencies?	YES	NO	N/A	
10	Did you define their sequence and interaction?	YES	NO	N/A	
11	Did you define process constraints and limitations?	YES	NO	N/A	
12	Did you define the resources that processes share?	YES	NO	N/A	
13	Do you use a systems approach to manage your processes?	YES	NO	N/A	
14	Do you understand your network of processes?	YES	NO	N/A	
15	Do you understand their sequence and interaction?	YES	NO	N/A	
16	Do you manage your processes as an integrated system?	YES	NO	N/A	

ORGANIZATION:

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17	Do you review your organization's processes and their interrelationships on a regular basis?	YES	NO	N/A	
18	Are your processes efficient and effective?	YES	NO	N/A	
19	Are your processes achieving your organization's objectives?	YES	NO	N/A	
20	Do you take suitable actions to improve your processes?	YES	NO	N/A	

#### 7.2 PROCESS PLANNING AND CONTROL

21	Have you identified the functions that your organization needs to carry out?	YES	NO	N/A	
22	Have you identified the functions that must be carried out in order to be able to provide products and services that meet the needs and expectations of customers and other interested parties?	YES	NO	N/A	
23	Have you identified the processes that your organization needs in order to be able to carry out its functions?	YES	NO	N/A	
24	Have you identified processes that you need in order to be able to carry out management activities?	YES	NO	N/A	
25	Have you identified processes that you need in order to be able to carry out resource provision activities?	YES	NO	N/A	
26	Have you identified processes that you need in order to be able to carry out product realization activities?	YES	NO	N/A	
27	Have you identified processes that you need in order to be able to carry out monitoring activities?	YES	NO	N/A	
28	Have you identified processes that you need in order to be able to carry out measurement activities?	YES	NO	N/A	

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29	Have you identified processes that you need in order to be able to carry out review activities?	YES	NO	N/A	
30	Do you plan the development of processes?	YES	NO	N/A	
31	Do you consider process needs and expectations?	YES	NO	N/A	
32	Do you consider the needs and expectations of your organization's interested parties?	YES	NO	N/A	
33	Do you consider the needs and expectations of your organization's customers?	YES	NO	N/A	
34	Do you consider your needs and expectations?	YES	NO	N/A	
35	Do you consider new product development needs?	YES	NO	N/A	
36	Do you consider new product feature needs?	YES	NO	N/A	
37	Do you consider the objectives you must achieve?	YES	NO	N/A	
38	Do you consider your organization's environment?	YES	NO	N/A	
39	Do you consider forecasts of market developments?	YES	NO	N/A	
40	Do you consider statutory and regulatory requirements?	YES	NO	N/A	
41	Do you consider potential financial risks?	YES	NO	N/A	
42	Do you consider potential nonfinancial risks?	YES	NO	N/A	
43	Do you consider process inputs and outputs?	YES	NO	N/A	
44	Do you consider process interactions?	YES	NO	N/A	
45	Do you consider process resource needs?	YES	NO	N/A	
46	Do you consider process information needs?	YES	NO	N/A	
47	Do you consider process technology needs?	YES	NO	N/A	
48	Do you consider process activities?	YES	NO	N/A	
49	Do you consider process methods?	YES	NO	N/A	
50	Do you consider process record keeping?	YES	NO	N/A	
51	Do you consider your record keeping needs?	YES	NO	N/A	

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52	Do you consider process measurement requirements?	YES	NO	N/A	
53	Do you consider process monitoring requirements?	YES	NO	N/A	
54	Do you consider process analysis requirements?	YES	NO	N/A	
55	Do you consider remedial action requirements?	YES	NO	N/A	
56	Do you consider corrective action requirements?	YES	NO	N/A	
57	Do you consider preventive action requirements?	YES	NO	N/A	
58	Do you consider process improvement activities?	YES	NO	N/A	
59	Do you consider process innovation activities?	YES	NO	N/A	
60	Do you consider the need to develop new technologies?	YES	NO	N/A	
61	Have you developed processes that meet your organization's unique needs?	YES	NO	N/A	
62	Do you control how your processes function?	YES	NO	N/A	
63	Do you control how processes meet needs and expectations?	YES	NO	N/A	
64	Do you control how processes meet the needs and expectations of interested parties?	YES	NO	N/A	
65	Do you control how processes meet the needs and expectations of your customers?	YES	NO	N/A	
66	Do you control how processes meet your organization's needs and expectations?	YES	NO	N/A	
67	Do you control how processes are used to achieve objectives?	YES	NO	N/A	
68	Do you control how processes deal with your organization's environment?	YES	NO	N/A	
69	Do you control how processes respond to future market developments?	YES	NO	N/A	
70	Do you control how processes comply with statutory and regulatory requirements?	YES	NO	N/A	

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71	Do you control how processes deal with potential financial risks?	YES	NO	N/A	
72	Do you control how processes deal with nonfinancial risks?	YES	NO	N/A	
73	Do you control how processes generate outputs?	YES	NO	N/A	
74	Do you control process activities?	YES	NO	N/A	
75	Do you control process methods?	YES	NO	N/A	
76	Do you control how processes use inputs?	YES	NO	N/A	
77	Do you control how processes interact?	YES	NO	N/A	
78	Do you control how processes use resources?	YES	NO	N/A	
79	Do you control how processes use information?	YES	NO	N/A	
80	Do you control process record keeping?	YES	NO	N/A	
81	Do you control how processes are measured?	YES	NO	N/A	
82	Do you control how processes are monitored?	YES	NO	N/A	
83	Do you control how processes are analyzed?	YES	NO	N/A	
84	Do you control how processes are changed?	YES	NO	N/A	
85	Do you control corrective actions?	YES	NO	N/A	
86	Do you control preventive actions?	YES	NO	N/A	
87	Do you control process improvements?	YES	NO	N/A	
88	Do you control process innovations?	YES	NO	N/A	

#### 7.3 PROCESS RESPONSIBILITY AND AUTHORITY

89	Have you appointed a process manager for each process?	YES	NO	N/A	
90	Have you given your process manager the authority and responsibility to manage his or her process?	YES	NO	N/A	
91	Have you given your manager the responsibility and authority to establish his or her process?	YES	NO	N/A	

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