

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(02/06)**

Department	Audit Process	Date & Time of Audit
Construction	5.3, 5.4, 5.5	11/29/12

Auditor(s)	Audit Objectives:
1. Michael J. Shanshala III, P.E. 2. Ben Matthews	To review process compliance with ANSI/ISO/ASQ Q9001-2000 Sections 5.3, 5.4, and 5.5

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza, P.E.	1. ADE-Construction

Item(s) or areas audited
5.3 Quality Policy 5.4 Planning 5.5 Responsibility, Authority , and Communication

Auditee Comments:
○

<u>Plan approved by: (Management Representative)</u>
Tab Boyer

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Audit Criteria

External requirements (questions)

1. In a previous audit it was reported that the District 10 Construction Unit Quality Policy was not available for viewing online at state.pa.us by our customers, is it now available?
2. How are the District's partners made aware of the Quality Policy and its related quality components? Since they are an extension of the Department's work force, provide documentation that they follow the Policy.
3. How does the Executive Management of the Construction unit fulfill the responsibility of ensuring the continual improvement of our Quality Policy?
4. How is the responsibility, authority and interrelationship of those who manage, perform and verify work affecting quality, shown on our organizational charts and in our job descriptions?

External requirements (answers)

1. Yes, it is on the state website. It was loaded on the District 10 site in early 2011.
2. Copy of our plan is not given to the consultants. We typically ask to see their quality plan for our review. The reason for seeing their quality plan is to make sure they have a plan in place for corrective action. The consultants plan is reviewed for effectiveness. The department provides an ISO presentation to consultant inspectors through the IIC.
3. This responsibility is fulfilled through internal/external audits. External audits are conducted approximately every six months. Quarterly reviews are conducted with the ACE's, Unit Heads, ADE, and DE. CPAR's are reviewed quarterly. All of this is communicated through winter school, email, newsletter, and job descriptions.
4. ISO responsibility is listed in job descriptions. An example of job description provided was the clerk's responsibility of note taking at meetings. Job title of ISO Management Representative is not listed in position title of the person holding this title. Also, this title is not listed on organizational chart.

Internal requirements (questions)

1. When dealing with occurring changes, does the Assistant District Executive determine actions individually or is there a process to do so?
2. Per 5.3 (Quality Policy), when was the last management review of the Master Quality Policy Document performed? Is this a page-by-page formal Review? How were the updates conveyed to the Unit's personnel? Have all process maps been updated in the last year?
3. Provide documentation that reveals that corrective/preventative action (CPAR's) submissions are tracked and followed-up through satisfactory completion.
4. Are final inspection notices issued with enough advanced notice to ensure maximum attendance?
5. How soon after a formal meeting has been conducted are the meeting minutes made available?

Internal requirements (answers)

1. Actions are not taken individually by the ADE, each person is required to check quarterly as outlined in 5.5.1. Any changes are made formally by email.
2. This was last completed prior to the last ADE-Construction retiring approx one year ago. Each owner was asked to review page by page and provide corrections. The unit is now in the process of making changes and is expected to be completed by late January or early February.
3. All of this is documented on the J: Drive. This documentation was presented to the auditors. Tracking as of 2003 100% of CPAR's have been closed.
4. ADE-Construction sent out an E-Mail in approximately July stating that a 2-week advance was required for final inspections.
5. Meeting minutes are made available within 2 weeks time. All project status meetings are done in word and distributed.

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Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. The ISO process is updated internally as opposed to hiring a consultant.
2. All comments since the 9/23/12 audit have been addressed.
3. The ISO process is now more user friendly online.

Areas to consider for improvement:

1. Add ISO Management Role to job description on the organizational chart.
2. Give an overview of ISO to new staff within 1 month of employment in construction.

Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled:

- 1.

Observations and auditor comments:

1. A new employee advised that he had heard of ISO, but had not been explained to what it was within 6 months of employment.

Statement of overall effectiveness of the system:

- Appears that the unit is making strides to update the control document, processes and to make it easily found by the unit staff. CPAR's are being conducted and followed through with.

Distribution of Audit Report:

- Manager of area audited
- A.D.E. Construction
- ISO Management Representative

Unit Manager Comments Including Follow-Up Action: (if any)

