

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

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 F3	Tuesday November 27,2012 9 Am

Auditor(s)	Audit Objectives:
1. Brian Steffy 2. Timothy Acken	To determine if the outlined procedures set forth in the Controlled ISO 9000 manual are being followed.

Name of Auditee(s)	Auditee(s) job Function
1. Jeff Mountain	1. Finals Unit Supervisor

Item(s) or areas audited
Finals Unit – Project Closeout

Auditee Comments:
<input type="radio"/> <b>None</b>

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

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## Audit Criteria

### External requirements (questions)

1. Please explain what a properly indexed and boxed set of records would consist of.
2. Explain the project record check in procedure. Is this procedure documented and available to field personnel to review?
3. Time extensions are listed on the PCM(project closeout map) as being done after the NFQ. Is this correct as the current procedure in the field, as required by the FHWA, is to have the time extension request done when said work or delay has occurred within 30 days?

### External requirements (answers)

1. Files are stored in banker box(es) labeled and indexed with printed file index attached or inside box(es).
2. Project record check in sheet to have a date added for current revision for the form. Attempts will be made to hyperlink the form to the District homepage ISO link.
3. Modifications will be done to the Project closeout map to meet 408 requirements detailing time extentions.

### Internal requirements (questions)

1. What are the current efforts to minimize hard file storage by storing the project files electronically?
2. What training have the technicians received to check in the project records? Who conducts this training? Who trained the trainer?
3. In the procedure outline in the document payments are to be made according to the 408. While this statement is correct the Project Manager are also to comply with the documentation procedures as outlined in the Project office Manual. Should that also not properly be included within the procedure.

### Internal requirements (answers)

1. There is no current initiative to minimize hard file storage, ie electronic document scanning. The materials book may be done electronically but that is not mandatory. The SharePoint system is being considered as a possible alternative method of file sharing and storage. More will be known as the subject is researched throughout the winter of 2012-2013.
2. Currently there is no formal training of technicians/auditors. Previously technicians/auditors job shadowed experienced technicians/auditors to learn procedures. A training plan is being developed and implemented by the Finals Unit Supervision for new technicians/auditors.
3. Appropriate modifications to the process procedure will be made.

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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. Good man has responsibility for this process. Knowledgeable about process and what needs done. Mr. Mountain actively rewriting process.

### Areas to consider for improvement:

1. Areas as noted in the audit answers. Modifications to the process will be implemented, including research documents.

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

1. None observed.

### Observations and auditor comments:

1. The project closeout map needs to be redone to more properly show the flow of the process. A reorganization of the decision blocks would make a more easily followed model. The map should align with project closeout monitoring.

### Statement of overall effectiveness of the system:

- Process is operating more effectively than the process map indicates. Overall the present system works well.

### Distribution of Audit Report:

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

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

