

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

Department	Audit Process	Date & Time of Audit
Construction Unit	7.5.1 Field Construction-Launch	November 13, 2012 @ 9 am

Auditor(s)	Audit Objectives:
1. Terry Kerr, P.E. 2. Greg Schnur	To review current procedures for District 10 Construction Unit for ISO Clause 7.5.1, production and service provision, F01, Field operations-launch.

Name of Auditee(s)	Auditee(s) job Function
1. Dave Meagher	1. Assistant Construction Manager

Item(s) or areas audited
Procedures outlined within F01, Launching of Construction Projects.

Auditee Comments:
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<u>Plan approved by: (Management Representative)</u>
Tab Boyer, P.E.

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Audit Criteria

External requirements (questions)

1. What determines whether or not a pre-bid conference is held and would it be beneficial to hold one for more projects?
2. Prospective bidders may ask specific questions concerning the advertised project. Is there a cutoff point where bidders can no longer ask questions prior to letting?
3. How can the pre job meeting be changed to improve communication to the contractor?

External requirements (answers)

1. Size and complexity of project dictates whether or not a pre-bid is held. DJM does not feel that every project needs one or that it would be beneficial.
2. Yes there is a cutoff date. It is noon the Monday before the bid.
3. Ensure that specialty units (Traffic, Utilities, Environmental, etc.) are involved when necessary. DJM tries to check with those particular units prior to the pre-job to determine whether or not they would like to attend.

Internal requirements (questions)

1. Does District 10-0 have its own form/checklist for pre-construction meetings?
2. Are there specific time requirements for notifying interested parties prior to commencing construction activities as per POM A.1.2-1?
3. What Department personnel are generally in attendance at pre-bid conferences?
4. Who is responsible for discussing environmental related issues and is the Department to provide hard copies of the permits to the Contractor?

Internal requirements (answers)

1. Yes. DJM feels the notice to proceed expiration date should be stated on the form and the submittal area needs addressed as well. SharePoint is coming online. We need to clarify the submittal process.
2. Typically, these are addressed in the Traffic Control Plan and/or the Notice to Contractor.
3. ACE, IIC, Structure Control Engineer, Design PM/Designers, District Labor Compliance Agent, representatives from Utilities, Traffic, Environmental and the County and if necessary the Materials and Geotechnical Units.
4. Environmental Manager. If an NPDES Permit is involved then the County Conservation District would also need involved. Hard copies of permits are provided to the contractor.

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Overall Statement of Effectiveness of the Quality Management System
Areas of strength regarding ability to meet requirements- including observed <u>BEST Practices</u> 1. Ensuring the involvement of the specialty units
Areas to consider for improvement: 1. Submittal area on ACE's pre-job form needs addressed.
Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled: 1. N/A
Observations and auditor comments: 1. From the last audit in March 2009, it was suggested to utilize Microsoft Outlook's meeting request option so invitees could accept or decline the invitation and the meeting would show up on your calendar. This has been implemented and is working effectively.
Statement of overall effectiveness of the system: <ul style="list-style-type: none">• The process is effective in that all parties involved seem to fully understand the Launch Phase.
Distribution of Audit Report: <ul style="list-style-type: none">• Manager of area audited• A.D.E. Construction• ISO Management Representative
Unit Manager Comments Including Follow-Up Action: (if any) ➤