

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

Department	Audit Process	Date & Time of Audit
Construction Unit 10-0	FO2 Field Operations - Project Management	4/24/2012 8:00 AM

Auditor(s)	Audit Objectives:
1. Mike Curry 2. Brian Steffy	Review FO2 for compliance

Name of Auditee(s)	Auditee(s) job Function
1. George McFeaters	1. Project manager

Item(s) or areas audited
Field operations of project management for all past projects.

Auditee Comments:
Auditee learned by refreshing his memory after working for other units. Auditee did not expect this to be such a challenging audit.

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

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Audit Criteria

External requirements (questions)

1. When you have a question regarding contract or specification compliance who do you contact?
2. Noting that the unit participates in constructability reviews to obtain the best possible plans, what is your participation, do you have improvement suggestions?
3. How do you satisfy the property owner and still ensure compliance?
4. How do you verify subcontractors and materials are in compliance?

External requirements (answers)

1. The assistant Construction Engineer, Structure Control Engineer, and the designer of the project are the first ones he calls. He refers to Pub. 8 and tries to look ahead to prevent a last minute concern with compliance. Because he used to work for a contractor he listens very closely to understand what is being asked to see where they are trying to lead you, sometimes it is to make money, not get the best job possible.
2. He has not been involved in the constructability from start to finish. An improvement suggestion would be involvement with the constructability review throughout the whole process, talk to the designer, help with the changes, and understand the best option for the District regarding work that is or is not included in the design and contract.
3. Listen to the property owner's concerns and see if the project can be constructed to the plans and specifications while addressing these concerns.
4. Reference the Bulletin 15, Source and supply documents and have the prequalification list available in ECMS.

Internal requirements (questions)

1. How do you ensure all documents are included when turned into Finals?
2. How do you ensure all project operations are performed to the plans and specifications?
3. Do you Know why the ISO Audit process is being done, explain?
4. What process is in place when deviations from contract quantities are required?

Internal requirements (answers)

1. He refers to the Finalization Checklist within ECMS and also uses the Materials Book.
2. He talks to his staff and the contractor, asking questions about the project and refers to the daily project site sheets filled out by the inspection staff.
3. In order to learn about ISO and be able to explain the values of the process and how it applies to the staff on the projects.
4. The work order process is in place when deviations happen. Then we have to determine if the funds are available to perform the work needed. The process includes a realization/notification that work is needed, check documentation (Consider 75%/125%), authorize work then do the work and finish the work order.

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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. Audi tee possessed knowledge of the reference documents and suggested to adding more documents.
2. Audi tee had experience from the contractor's side therefore he understands the importance of what we do within the FO2 Process.

Areas to consider for improvement:

1. Modify Reference Documents to include the following: Pub 8, Construction Manual, Approved Materials Bulletin List, and the Contractors Prequalification List.

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

1. No findings were observed.

Observations and auditor comments:

1. Regarding the process scope (Constructability Review), following each review meet with the designer to discuss the post review research in order to gain an understanding that it may in the best interest of the district to add work/funding during the construction phase.
2. Reference documents could be added to have a more complete list.

Statement of overall effectiveness of the system:

- This process FO2 Field Operation- Project Management is very effective. The process can be applied to large and small projects alike. It challenges the process user to delve into the details in order to ensure compliance with all documents.

Distribution of Audit Report:

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

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

