

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

| <b>Department</b> | <b>Audit Process</b> | <b>Date &amp; Time of Audit</b> |
|-------------------|----------------------|---------------------------------|
| Construction Unit | 7.5.1. (FO5)         | 5/31/12 9:00am                  |

| <b>Auditor(s)</b>                   | <b>Audit Objectives:</b>                              |
|-------------------------------------|---|
| 1. Rich Polenik<br>2. Allen Gemmell | Review process and determine conformity to QMS Manual |

| <b>Name of Auditee(s)</b> | <b>Auditee(s) job Function</b> |
|---------------------------|--------------------------------|
| 1. Jeff Mountain          | 1. Finals Unit Manager         |

| <b>Item(s) or areas audited</b>   |
|---|
| Procedure FO5 Ensure field audits are being completed by construction unit personnel. |

| <b>Auditee Comments:</b>  |
|---|
| <ul style="list-style-type: none"> <li>○ Field audit process is operating well. The current number of audits is sufficient to obtain representative data for the district.</li> </ul> |

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

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| <b>Audit Criteria</b>   |  |
|---|--|
| <u>External</u> requirements (questions) <ol style="list-style-type: none"><li>1. How are the auditors being selected?</li><li>2. What qualifications do the auditors have?</li><li>3. How is consistent data controlled?</li><li>4. Are findings shared with central office?</li></ol>   |  |
| <u>External</u> requirements (answers) <ol style="list-style-type: none"><li>1. The A.C.E. selects a TCI and a TCIS or TCM as a team. Teams are rotated yearly.</li><li>2. Auditor qualification is dependent on construction certifications and experience. One of the team members is a senior inspector.</li><li>3. Previous audits were common operations to all projects. Current audits are reflecting innovative construction operations common to the district.</li><li>4. Not at this time. Internal process only.</li></ol> |  |
|   |  |
| <u>Internal</u> requirements (questions) <ol style="list-style-type: none"><li>1. Who insures the audits are completed?</li><li>2. Where does the process end?</li><li>3. How are corrective actions noted on issues found?</li><li>4. Is additional training recommended when reoccurring issues are identified?</li></ol>   |  |
| <u>Internal</u> requirements (answers) <ol style="list-style-type: none"><li>1. Current Finals Manager and ACE set a deadline for all the audits.</li><li>2. An After Action Review is held with the persons involved in the audits and findings are presented in winter schools.</li><li>3. A scorecard is used and comments are noted.</li><li>4. No major reoccurring issues have been found to require formal training. Areas for improvement are discussed in winter school.</li></ol>   |  |

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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.

### Areas to consider for improvement:

1. Clarification of flow chart. Process ending with AAR conducted and topics discussed in winter school.

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

1.

### Observations and auditor comments:

1. Auditee was very knowledgeable of the process.

### Statement of overall effectiveness of the system:

- This process seems to be useful and effective since many various construction staff members are involved.

### Distribution of Audit Report:

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

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

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