

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

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 (F1)	May 23, 2012 10:00 AM

Auditor(s)	Audit Objectives:
1. Nate Adams 2. Tim Acken	Review process to insure compliance and improve effectiveness with ISO 9001: 2000 and organizational requirements. Verify that the QMS is effectively implemented and maintained

Name of Auditee(s)	Auditee(s) job Function
1. Jeff Mountain	1. Finals Unit Supervisor / Work Order Specialist (until open position is filled)

Item(s) or areas audited
Work Order Process

Auditee Comments:
<ul style="list-style-type: none"> ○ ISO audit was a good refresher for reviewing the process and finding opportunities for improvement. ○ Auditors did a good job coming up with questions that were efficiency / process related. ○ I must disagree with the observation opinion that I'm beginning to take on appearance characteristics of one of my predecessors.

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

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Audit Criteria

External requirements (questions)

1. Are the contractors involved in the work order process and what would be the extent of their involvement? How could their enhanced involvement expedite the approval process for work orders?
2. What forms or documents are required for this process? Show them, are they current?
3. How is the contractor made aware that a change in contract is pending?

External requirements (answers)

1. Contractor involvement is through CS373 Authorization and price negotiations. The more upfront involvement the contractor has with field staff the better and quicker the process
2. There is the electronic CS373, CS4347-Negotiated Price Justification, Force Account tracking sheets. Central office keeps all forms current.
3. Typically verbal communication with department field staff and documented through ECMS with CS373.

Internal requirements (questions)

1. Do you plan on implementing any changes as the new Finals Unit Supervisor and what would they be?
2. Have there ever been any cpars submitted regarding this process and what was the result?
3. Is there anyone with sufficient knowledge and experience to act as a backup for you and if not are there plans to do so?
4. In the event a work order is rejected during the review process, what steps or actions are taken?
5. If additional funding is needed for the work order, whose responsibility is it to resolve funding issues?
6. When extra work prices are negotiated with the contractor, who makes the final decision to either accept or reject the negotiated price?
7. If a negotiated price is rejected, what is the process?

Internal requirements (answers)

1. Field staff can now attach documents from the field directly into ECMS. However, Finals Unit will still require an advanced copy for review and approval prior to being submitted on a work order.
2. No CPARS have been done on the process
3. Currently, John Copeland serves as a back up in the event Jeff is unavailable.
4. The reason for rejection is noted by reviewer, the work order goes back to the IIC for revision. ECMS sends an automated email the IIC for the project.
5. IIC lets the ACE know the amount needed and the ACE contacts Dave Cook or John O'Donnell to secure money if DPMC is needed.
6. Price is accepted by the IIC through the ECMS CS373 form. If the IIC and contractor cannot agree to a price, then force account is used.
7. Department determines if they still wish to pursue having the added work done and if so work is performed through Force Account and necessary documentation is done by field staff.

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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 auditee has a good working knowledge of the process and will serve as a good teacher for whoever takes over as WO Specialist.

Areas to consider for improvement:

1. Organized training for field staff concerning the work order process

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

1. None

Observations and auditor comments:

1. Flow chart for process needs updated with new procedures.
2. Previously all of the audits of this process to date were available in the archives. Currently there are no previous audits available because none have been done since 2009. This does not permit the auditors to review areas that previously were weak or needing improvement. All the audits need to be available.
3. Refresher training did very little to teach about being an auditor and instead amounted to a cheerleading session about how great the ISO 9000 system is.

Statement of overall effectiveness of the system:

- The process is functioning effectively.

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

- Will consider preparing/finding and scheduling formal Work Order training for field staff at an appropriate time once the new Work Order Specialist is selected, trained, and acclimated.

Distribution of Audit Report:

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