

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

Department	Audit Process	Date & Time of Audit
Construction Unit 10-0	Structural Plan Review SC-1	5/9/2012 8:00 AM

Auditor(s)	Audit Objectives:
1. Steve Geidel 2. Ben Mathews	Review SC1 for compliance

Name of Auditee(s)	Auditee(s) job Function
1. Tom Knieriem	1. Structure Control Engineer

Item(s) or areas audited
Structural Control Plan Review

Auditee Comments:
None

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

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Audit Criteria

External requirements (questions)

1. Are there standard forms that are needed for submitting a structural plan for review?
2. How long should the review take once a plan is submitted?
3. What are some of the obstacles that hold the process up?
4. What kind of communication is there between designers and reviewers that can be improved to increase the initial quality of the structural plans?
5. What documents are being used as a checklist for reviews?

External requirements (answers)

1. No standard forms. Plans are generally submitted through the district routing system and no forms are needed. The system in place is working properly.
2. The review takes about 2 weeks to get finished, but there is no set time limit. No measure is in place for the length of time.
3. Some design managers are better than others at responding, and some do not respond through the routing system.
4. Monthly meeting with Bridge Engineer and Assistant Bridge Engineer and document continued issues with construction of designs.
5. Specific checklists have been developed, but are not used. Checklists aren't developed for all types of plans. These checklists are not part of the review process.

Internal requirements (questions)

1. What documentation is required for a structural plan review?
2. Where can a list of requirements of what is needed for a structural plan be found?
3. Is there a trend of why plans that are rejected are rejected? IF so why?
4. How is this process tracked?

Internal requirements (answers)

1. The document routing system supports the documentation for the process.
2. All requirements are found in DM-4 Plan presentation section.
3. No real trend. If issues are significant talk to designers to solve the problem.
4. No tracking in place, the system itself documents the process.

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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

Good experiences and is very on top of the process as a whole.

Areas to consider for improvement:

Put the checklists for review in an area where others can see them.

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

N/A

Observations and auditor comments:

1. Tom is very knowledgeable of the subject. Very minor improvements are all that may be needed.

Statement of overall effectiveness of the system:

- System seems to be working properly with no issues.

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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