

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(01/13)**

Department	Audit Process	Date & Time of Audit
PennDOT – Construction Unit	8.2.2 Internal Audit	12/17/2013 9:30 am

Auditor(s)	Audit Objectives:
1. Rich Polenik 2. Allen Gemmell	Review process and determine conformity to QMS Manual

Name of Auditee(s)	Auditee(s) job Function
1. Tab Boyer	1. Preparation and review of the audit process

Item(s) or areas audited
8.2.2 Internal Audit Process

Auditee Comments:
<input type="radio"/> None noted

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

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. How are the auditors assigned?
2. What qualifications do the auditors possess?
3. What criteria is used to determine what processes are audited?
4. How are auditors from other units considered for auditing duties within the construction unit?

External requirements (answers)

1. Audit teams are comprised of veteran and new auditors to complete assigned audits.
2. Competent employees who complete auditor training conducted by a lead auditor. On-line refresher training is required for established auditors.
3. All processes audited within a 3 year cycle. Some processes audited more frequently based on effectiveness, status and importance.
4. Employees from other units asked to be auditors and continue to be valuable members of the auditing pool.

Internal requirements (questions)

1. How is the schedule distributed to the auditors?
2. Where are the internal audit forms located?
3. How are corrective /preventative actions addressed when discovered during an audit?
4. What determining factors are used when analyzing the trends and opportunities for improvement of completed audits?

Internal requirements (answers)

1. The schedule is posted on the PennDOT website and e-mailed to auditors to schedule audits accordingly.
2. The forms are located on the website and the J-drive. Primary controls of these forms are initialed on the J-drive.
3. CPAR's are completed by the originating author and submitted to the ISO representative for review. The management representative assigns the CPAR or discusses the issue with construction administration. CPAR's logged and monitored to completion.
4. Reoccurring issues are noted and follow-ups are completed if required. Positive or negative feedback is reviewed and shared with construction staff.

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Auditee is knowledgeable of the process and presented information in a clear manner.

Areas to consider for improvement:

1. Consider a verification process that ensures that the website information is current and accurate compared to the J-drive information. (Forms).

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

1. No non-conformities identified.

Observations and auditor comments:

1. Process is in place and working effectively.

Statement of overall effectiveness of the system:

- System is working well regarding the internal audit process.

Distribution of Audit Report:

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

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



Tab Boyer

Will discuss with IT to see if/how verification of current document.