

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

| Department | Audit Process | Date & Time of Audit |
|---------------------------------|-----------------------------|----------------------|
| District 10-0 Construction Unit | 8.2.3 Mon./Meas. Of Process | 11-20-13 @ 11 am |

| Auditor(s) | Audit Objectives: |
|---------------------------------------|-------------------|
| 1. Terry Kerr, P.E. 2. Greg Schnur | |

| Name of Auditee(s) | Auditee(s) job Function |
|-----------------------|-----------------------------------|
| 1. Steve Geidel, P.E. | 1. Construction Services Engineer |

| Item(s) or areas audited |
|--------------------------|
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| Auditee Comments: |
|-------------------|
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| <u>Plan approved by: (Management Representative)</u> |
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| Tab Boyer |

PENNDOT – Engineering District 10-0

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Audit Criteria

External requirements (questions)

1. What are examples of special/unique contracts where a different means of measuring/monitoring is used to achieve customer requirements? What are these means?
2. How do you ensure all the QMS items are measured, analyzed and archived when they are due?

External requirements (answers)

1. New products. No set item. Special provisions are used. Proprietary products are very limited.
2. All areas/processes are on a 3 yr cycle. All areas are externally audited for recertification. Management review meetings address findings and close the gaps.

Internal requirements (questions)

1. Would it be beneficial to add a line as a reminder in the Dashboard for the date of expiration of the project's NPDES Permit and a 180 day ahead reminder to submit for a permit extension for multi-season projects?
2. Should guiderail reviews be added to the dashboard?
3. How are the results of all the measuring and analysis shared with Construction Staff?

Internal requirements (answers)

1. Could be if Unit wants it. Not all projects have NPDES Permits.
2. This is on the IIC To Do List. Unit needs to decide if they want it.
3. Monthly dashboards and scorecards are reviewed at meetings and winter school. Scorecards are not shared with 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. Good, structured process in place.

Areas to consider for improvement:

1. Share scorecards with field staff.
2. Discuss whether or not NPDES or guiderail reviews should be on dashboard..

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

1. None.

Observations and auditor comments:

- 1.

Statement of overall effectiveness of the system:

- This is an ever evolving 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)



Will bring NPDES permit issue out at next Mang. Review. District Scorecards will be sent out to all Construction via e-mail