

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

Department	Audit Process	Date & Time of Audit
Construction	5.1 and 5.2	October 30, 2013 7 am

Auditor(s)	Audit Objectives:
1. Brian Steffy 2. Timothy Acken	Review 5.1 Management Commitment and 5.2 Customer Focus processes to insure compliance and improved effectiveness with ISO 9001 and organizational requirements.

Name of Auditee(s)	Auditee(s) job Function
1. Steve Geidel	1. CSE - Construction

Item(s) or areas audited
5.1 Management Commitment 5.2 Customer Focus

Auditee Comments:
<ul style="list-style-type: none"> ○ The processes seem to be in compliance and are effective. Over the combined 80 years of experience of the three participants in this audit, this is the best tool related to quality management that we have attempted. It defines processes and identifies controlled documents among other improvements. Twice a year someone grades us externally to see if we are following what we say our process is.

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

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Audit Criteria

External requirements (questions)

1. 5.2 Are the customer complaints addressed in a defined process as part of the ISO 9001. If yes where is this process defined. If no why is it not.
2. When the complaint lands in the construction unit what protocol is followed to address.
3. How are the complaints from different customers addressed, say as one from a county employee or a district employee and say a private citizen or a contractor.

External requirements (answers)

1. The CCC process is in place as a reference document. It is not part of the Unit but it is a statewide system.
2. The protocol followed is geographic or contextual, based on the complaint. It gets routed to an assigned individual.
3. If the complaint is in the CCC system it is handled as typical process. If it is a personal complaint then it is handled informally and individually, based on the content.

Internal requirements (questions)

1. 5.1 How does management address the unit employees who believe that the ISO process is a waste of Department resources? Are there any , as per the Secretary, defined objective measures of its success in improving the unit. If yes, can it be quantitative in dollars and cents?
2. How many cpar have been submitted in the last quarter
3. How many cpar have been submitted in the last quarter
4. Of those cpar how many have initiated a change in the way the construction unit conducts it's business.

Internal requirements (answers)

1. During Winter School we highlight the positive impacts of ISO. There is no monitoring of dollars and cents but special attention is given to customer surveys, comparing them from year to year. An example is concerns over paint lines not lasting on new pavement, now an effort is given to double coat these lines in most projects.
2. No CPAR's were submitted this quarter.
3. No CPAR's were submitted this year.
4. Some CPAR's in the past seemed to be out of the Unit's control to change so they were observed as being passed over. One good example was the electronic Source of Supply submittals. Even though it was not able to be applied through ECMS we have an improved system from what it was in the past. The auditee will make sure the Management Review Meeting notes are distributed through the field.

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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. Effort is given to improve quality and pass the word about quality efforts.

Areas to consider for improvement:

1. Attempt to utilize CPAR's more often while not mandating the use by creating CPAR's that are not able to be implemented within the Unit or by the Unit. Train the Unit in the use and submission of CPAR's, i.e. how it is helpful, is the CPAR controlled by the Unit, advertise to the Unit that this is a means to correct or improve processes.

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

1. None were observed.

Observations and auditor comments:

1. Training and implementation of the benefits of the CPAR utilization.

Statement of overall effectiveness of the system:

- The process is working effectively.

Distribution of Audit Report:

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

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

➤ **Target the Unit heads for CPAR usage as suggested in the audit. This will be discussed during a weekly staff meeting with attendees for their input as the best way to achieve. TGB**