

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

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 (F2)	3/25/13 10:00 AM

Auditor(s)	Audit Objectives:
1. Ben Matthews 2. Anthony Brinklow	Review process to insure compliance and improved effectiveness with ISO 9001: 2008 and organizational requirements.

Name of Auditee(s)	Auditee(s) job Function
1. Jeff Mountain	1. Finals Unit Supervisor

Item(s) or areas audited
Finals Unit-Project Set-Up

Auditee Comments:
<ul style="list-style-type: none"> ○ Agree that suggested project file list needs distributed to field staff. Will attempt to get this completed shortly. ○ Revision in new ISO manual release will better represent the process.

<u>Plan approved by: (Management Representative)</u>
Tab Boyer, P.E.

PENNDOT – Engineering District 10-0

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Audit Criteria

External requirements (questions)

1. Please explain the project set-up process?
2. Is there a standard filing system in place for project files? If no, is there any possibility of this happening? If yes, where is it located, and are there project specific systems per job (bridge, paving, etc)?
3. What, if any, forms are tracked at the set-up of the project?
4. Are there any checklists followed by the finals unit for project set-ups?

External requirements (answers)

1. Notice to Proceed is issued. The labor compliance information is given at the prejob where the IIC gets the manual. Finals unit then provides anything else that is needed for the project.(IQ BK, Concrete BK etc.) NextGEN is setup originally by district IT unit.
2. Yes, the POM has a standard file system that is not very effective. Finals unit is working on a suggestion for a standard file system not yet out to construction staff. This system is not project specific, just a general system where items can be eliminated to fit specific project.
3. The only item tracked is finals unit supplies(Concrete Book, IQ Book, Materials Book)
4. No, the only form used is what is checked out.

Internal requirements (questions)

1. Hows is the construction staff informed off what is expected of them for project setup?
2. What interaction is desired between the finals unit and construction staff for project setup?
3. What measures are used in tracking project setup?
4. Is project sgtaff permitted to do project setup on their own?

Internal requirements (answers)

1. All that is needed from construction staff is a request of what supplies are needed.
2. Refer to Question 1 answer. A weeks notice is needed for setup of project MSA computers.
3. No measures are currently in place for tracking project setup.
4. The majority of the project setup is completed by construction staff. Construction staff sets up materials tracking, files, etc. NextGEN will never be setup by project staff. An electronic system is being developed for the future.

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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. Informing construction staff of what is expected.
2. Keeping the construction staff supplied with needed materials.

Areas to consider for improvement:

1. Distributing master file list.

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

1. N/A

Observations and auditor comments:

1. Overall finals unit supervisor very on top of this process and what is required.

Statement of overall effectiveness of the system:

- System that in place continues to work and serve it's requirements.

Distribution of Audit Report:

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

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

➤ N/A