

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

Department	Audit Process	Date & Time of Audit
PennDOT – Construction Unit	7.5.1–SC3 Project Initiation– Local Bridge Projects	2/12/2014 8:30 AM

Auditor(s)	Audit Objectives:
1. Anthony Brinklow 2. Terry Lezanic	Review process to insure compliance and improve effectiveness with ISO 9001:2008 and organization requirements.

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

Item(s) or areas audited
Review of measurement, analysis and improvement

Auditee Comments:
None

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

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Audit Criteria

External requirements (questions)

1. Who designs these contracts?
2. What happens if the Local Municipality does not approve the contract in ECMS?
3. Does PennDOT have any say in selection of inspection staff?

External requirements (answers)

1. The bridge owner (county or municipality) hires a design consultant similar to a state project. Jason Barkey is the Design PM for the township projects and oversees the process.
2. It is the municipalities' contract, no reason they should not approve. If they were to disapprove, they could delay the award.
3. Yes, the municipality submits 2 requests along with wage rates and resumes. Tab Boyer reviews the experience and qualifications to ensure the resume meets the title.

Internal requirements (questions)

1. Does everyone involved understand the customer requirements?
2. How do you intend to meet the requirements?
3. Is this process effective in achieving the required results?

Internal requirements (answers)

1. Requirements are outlined in the contract specifications and drawings which meet department criteria same as state projects.
2. SCE monitors the municipalities' inspection staff during the project to ensure they're providing proper oversight. Each project is visited at least once a month. FHWA checklist is used to determine the quality of work.
3. Yes, the quality of construction oversight is similar to what is provided for a state project. If the inspection is not meeting the required results, inspector could be removed.

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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. Process appears to be working efficiently.

Areas to consider for improvement:

1. None noticed.

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

1. None.

Observations and auditor comments:

1. Well organized and efficient process.

Statement of overall effectiveness of the system:

- Good.

Distribution of Audit Report:

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

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

