

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

Department	Audit Process	Date & Time of Audit
Construction	4.1	10/21/14 (8:00am)

Auditor(s)	Audit Objectives:
1. Paul Salava 2. Anita Harris	Audit 4.1 General Requirements

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza, P.E.	1. Assistant District Executive - Construction

Item(s) or areas audited
4.1 General Requirements

Auditee Comments:
<ul style="list-style-type: none"> ○ <p>This was the first time that this process has been audited. The outlined process seems to be accurate and functioning.</p>

<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 is customer satisfaction information being gathered and recorded?
2. When reviewing the 'question list for thought while performing a process audit' linked to the web site, question 9 refers twice to 'Product'. Should it be changed to Process, or outcome?
3. The next to last paragraph of section 4.1 states ... construction support services with control of these activities being described in our purchasing process. Who is 'our'?

External requirements (answers)

1. The auditee suggested a reference to Section 8.2.1 be added to this sentence.
2. The A.D.E. for Construction concurs with the reference to Bridge or Road as a Product.
3. The auditee suggested 'our' should be changed to read ' the Department's Fiscal unit'.

Internal requirements (questions)

1. When using the website, why are the flow charts 4.1, 4.2 and 4.3 not populated?
2. Why is it stated only Bridge and Roadway construction? 1st paragraph under Procedure and in flow charts 4.1 and 4.2 instead of all forms of construction?
3. Why are the sentences completed on the next line? i.e. Paragraph 2 line 8, this gives the appearance of an unprofessional document.

Internal requirements (answers)

1. The figures in the 'J' drive, our controlled document local are populated. There appears to be a disconnect between the web page and the controlled documents. This will be reviewed and corrected.
2. Paul suggested a change in wording from 'Roads and Bridges to a general statement like 'All projects designed for construction'. This would then include all projects; safety, local, municipal, beautification....
3. Paul will have someone fix it.

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. The A.D.E. for construction was well prepared. He seemed knowledgeable of the audited area.

Areas to consider for improvement:

1. Check flow charts on web site for accuracy. Review the entire document on line against the controlled document now, and periodically for accuracy.

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

Review the submitted 'CPAR' for the web site disconnect, and follow-up to confirm correction, and functionality.

Observations and auditor comments:

1. Paul was well prepared.

Statement of overall effectiveness of the system:

- The audit process of our system confirms figure 4.3 is embedded within the culture of the Construction unit as it functions within the Department in District 10-0.
- 'Plan, Do, Check, Act'.

Distribution of Audit Report:

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

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

