

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction / Field	5.6 Management Review	9/24/2014 @ 09:30 AM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Seth Marshall 2. Mark Wasilko	Review Administrative aspects of the ISO Management Review Process (Process 5.6) and ensure the process is being followed.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Tab Boyer	1. ISO Management Representative, Consultant Agreement Engineer

<b>Item(s) or areas audited</b>
Management Review of the ISO QMS

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

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. Referencing customer feedback: who is the customer and how is feedback processed?
2. Safety is listed, how is data received to you pertaining to safety? Is there a safety coordinator present while reviewing safety topics? Is this simply a review of statistics?
3. How are recommendations received and processed? Where do they typically come from?

#### External requirements (answers)

1. Customers include: Commonwealth Employees (District 10 Design/Maintenance and External to District 10), Contractors, Motoring Public, and Consultants. Surveys are sent out to all customers and are used as feedback to analyze for trends. A review of project surveys is also review at winter school. The newest forms of surveys are sent to contractors to review IICs. The surveys are taken through a service called Survey Monkey.
2. The DLCCA handles the safety issues within the Construction Unit. Typically the review consists of topics rather than statistical data. The statistical data is reviewed in monthly safety meetings.
3. Recommendations are submitted through the CPAR process and can be generated by any personnel and are submitted to the Management Representative.

#### Internal requirements (questions)

1. Are meeting minutes used as a reference for follow up actions?
2. Are preventative/corrective actions on reviews during quarterly meetings?
3. How are training summaries outlined? Does it include only ISO auditors? How often are training refreshers required?

#### Internal requirements (Answers)

1. Yes, they were within the meeting agenda as old business or listed under each topic that it is relevant to follow up during Management Review Meetings.
2. Yes they are reviewed at the meetings semiannually. The meetings were originally scheduled to be held quarterly, but due to the busy construction season, meetings have been held semiannually.
3. The training summaries are outlined in the SAP Portal/ P.A.W.S. utilized. This is all inclusive to Construction Personnel and not only ISO Auditors. ISO refresher courses are preferred to be yearly. Other refresher courses vary in timeframe (ie. NECEPT/PennDOT Concrete Technician.)

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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

- Very knowledgeable of the process and also reference material.

### Areas to consider for improvement:

- Process states meetings are held quarterly, changes could be made to the process to reflect actual timeframe.
- Expand on the item “safety” to describe in better detail the subjects discussed.

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

### Observations and auditor comments:

- Corrections within the processes are handled promptly as can be seen by updates to the QMS shortly after Management Review Meetings. The last update being in April.

### Statement of overall effectiveness of the system:

- The system is functional well; the auditee was able to retrieve all meeting minutes to show how the topics of the meetings are conducted.

### Distribution of Audit Report:

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

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

➤ **QM will be revised to take quarterly reference out as to the Management review meetings. Will be discussed at next Management review meeting**