

**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>
Transportation	7.5.1 F4	12-11-14 9:30am

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Marc Gardner	Entire Process of Right-to-know, Treasury Database

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Jeff Mountain	1. Finals Unit Supervisor

<b>Item(s) or areas audited</b>
Right-to-Know, Treasury Database – entire process.

<b>Auditee Comments:</b>
<ul style="list-style-type: none"> <li>○ No comment.</li> </ul>

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

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## Audit Criteria

### External requirements (questions)

1. What is the point of this?
2. Who is State Treasurer?
3. What is the Treasury Database?
4. What initiates the process?

- 1. It is requirement for the public to have access to the information of how and why tax dollars are being spent for roadway and bridge construction as part of the Right-to-Know Law. This process ensures they have information on cost and time changes to the construction contracts.**
- 2. The Department of Treasury in Harrisburg.**
- 3. A database with public access of Information of tax dollars being spent for commonwealth contracts including transportation construction projects.**
- 4. Any time after the approval of work order and/or time extension was processed in ECMS. It can be processed during the construction phase or until the project is finalized.**

### Internal requirements (questions)

1. In the process map, first step, is it just for changes in quantities? Why not for extra work item(s)?
2. In the process map, second step, incomplete – ‘ECMS to show the scope of the...(what)?
3. Who notifies you to do this process?

### Internal requirements (answers)

- 1. No, it should include extra work items as well – will be added in the first step box on process map.**
- 2. It was cutoff. Wording in step two box on the process map will be revised – need more clarification.**
- 3. No one. It is part of the procedure in the Final Unit. Required by Act 3 of 2008, the Right-to-Know Law.**

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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. The requirement of the job is being done properly and in a timely manner.

### Areas to consider for improvement:

1. The process of the description and map need re-wording to explain a better understanding of how and why the system work

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

1. No finding.

### Observations and auditor comments:

1. Most of the discussion was about how general the whole process is. It wasn't clear to show what the system is about.

### Statement of overall effectiveness of the system:

- The job is being done properly, therefore the process is working.

### Distribution of Audit Report:

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

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



**W#ill follow up with the process showing better explanations to process.**