

**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 Unit	7.5.1 C2	10/22/14 11:00AM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Ben Matthews 2. Larry Riggleman	Review 7.5.1 C2 Employee Performance Review Processing to insure compliance and effectiveness with ISO-9001.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Steve Geidel	1. Construction Services Engineer

<b>Item(s) or areas audited</b>
7.5.1 C2 Employee Performance Review Processing

<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. If an employee disagrees with their EPR, what is the process to handle this? Can an EPR be changed after this process takes place?
2. How much involvement does the union have in the updates of position descriptions?
3. If an employee disagrees with their position description how is this handled?

### External requirements (answers)

1. Employee has the chance to ask for a conference with the reviewer. Rater/reviewer have meeting and possibly change the rating if needed. There is no level above the rater/reviewer meeting.
2. No involvement, supervisor completes the position description.
3. Employee can make suggestions. Supervisor doesn't have to make changes that are suggested. HR can get involved if it becomes an issue.

### Internal requirements (questions)

1. How are the EPR cycles monitored?
2. Are EPR's completed when an individual is in an acting position?
3. How is the EPR cycle different for employees on probation?
4. What is the difference between union and non-union employee EPR's and EPR cycles?

### Internal requirements (answers)

1. Construction Unit secretary monitors the cycle and makes sure reviews are conducted on schedule.
2. Yes, if the employee is acting for a significant amount of time.
3. Probationary EPR's are completed until the employee is off probation. Once probation is completed employee returns to normal EPR rotation.
4. Questions are the same, only difference is that cycles end at a different time.

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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. Owner is aware and knows this process.

### Areas to consider for improvement:

- 1.

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

1. N/A

### Observations and auditor comments:

- 1.

### Statement of overall effectiveness of the system:

- System is working as setup currently.

### Distribution of Audit Report:

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

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

