

**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	7.5.1 (CA2)	9-25-14

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Brian Heeter 2. Steve Vasbinder	Review process to insure compliance and improve effectiveness with ISO 9001: 2000, and to verify organizational requirements and effectively QMS implementation.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Tab Boyer	1. Consultant Agreement Manager

<b>Item(s) or areas audited</b>
Preparation of work order for open ended agreement.
<b>Auditee Comments:</b> ○

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

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<b>Audit Criteria</b>	
Internal requirements (questions)	
<p><u>External</u> requirements (questions)</p> <ol style="list-style-type: none"> <li>1. When adding a W.O. to the Open end, how is the initial cost of the W.O. arrived at?</li> <li>2. Can any project be added in to a Open End agreement?</li> <li>3. Are the costs charged by the Firm, to the open end being tracked, and by whom? Should this be in the Process?</li> <li>4. Is there a process flow chart for this process if not should there be?</li> <li>5. With today’s budget restraints, yet emphasis on quality, how can Tax payers be assured they are getting the best value for these inspection service costs?</li> <li>6. Pub 93 4.5.1 (11-13) mentions a there are a minimum of two people qualified to be Quality Control Reviewers for W.O. who are the District 10 reviewers? Where can these be found?</li> <li>7. Is there an ISO process for their review process? Should there be?</li> </ol>	
<p><u>External</u> requirements (answers)</p> <ol style="list-style-type: none"> <li>1. ACE requests Inspection based on workload to CAM (Construction Agreement Manager) CAM then uses Spread sheets to calculate an estimated W.O. value.</li> <li>2. Yes – The CAM uses Project Specific Consultant agreements on the larger Projects, with estimated costs over \$500,000.</li> <li>3. The IIC reviews and sign the consultant payrolls, the inspectors submit them to their firm, the firms attaches signed copies of payrolls/invoices to the submitted invoices in ECMS, the CAM reviews attached signed payrolls, if ok approves the invoice.</li> <li>4. No Process Flow chart, it’s an ECMS System process which has safeguards in place to assure costs are being monitored and paid accordingly.</li> <li>5. The Inspection staff must meet the minimum experience or qualifications, The Department Oversees Consultant staff; they enforce the Department Standards Specs, and Policies.</li> <li>6. QC people are listed in the ECMS system.</li> <li>7. No, the ECMS systems workflow is in line with the Pub 93 requirements.</li> </ol>	
External requirements (questions)	
<p><u>Internal</u> requirements (questions)</p> <ol style="list-style-type: none"> <li>1. An amendment is used to increase the Original Cost of the Open End, is there a maximum on can this be increased?</li> <li>2. Is there a process being used to assure that qualified inspection staff is being supplied when W.O. is added?</li> <li>3. Where are the Appendix 2B (Nego. Position Memorandums) and 2G (Review of Tech Proposals) being maintained ?</li> <li>4. Pub 93 4.5.10 W.O. assigned to “Various small contracts” as opposed to “Stand Alone” mentions assignments should not exceed \$100,000 in the “Various Small contracts” are there safe guards in place to assure this?</li> </ol>	
<p><u>Internal</u> requirements (answers)</p> <ol style="list-style-type: none"> <li>1. The Distrit10 policy we do not increase the Open Agreements, policy is to create a new agreement.</li> <li>2. Consultant firm submits a list of their qualified people in ECMS, CAM reviews the list, and verifies their resume - if they met the criteria he approves them. He also tracks these peoples Resumes. The QC Reviewers also audit the CAM records as per Pub 93.</li> <li>3. The Construction unit does not negotiate - Position Memorandums, the 2G reviews are on Spread sheets maintained and protected by the CAM on the Departments J: Drive.</li> <li>4. CAM separates all projects and does not use the “Various Small Contracts” option, this makes it easier to separate costs and track efficiently.</li> </ol>	

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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. Consultant Agreement Manager appears to have a very good handle on costs, markup percentages, and uses the available technology to track costs and assure compliance to Pub 93.

### Areas to consider for improvement:

1. None noted

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

1. No nonconformities to the Pub 93 and ISO 7.5.1 (CA2) process were noted

### Observations and auditor comments:

1. Appears to be working well.

### Statement of overall effectiveness of the system:

- Appears to be very 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)

- No Follow-up needed