

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(10/06)**

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 F03	

Auditor(s)	Audit Objectives:
1. Greg Schnur 2. Tim Acken	Focus on the District's in place processes and measures to comply with ANSI/ISO/ASQ 9001-2000 requirements of Procedure Field Operations – Project Closeout, FO-3

Name of Auditee(s)	Auditee(s) job Function
1. Joe Painter	1. T.C.I. S.

Item(s) or areas audited
7.5.1 F03 Procedure Field Operations – Project Closeout, F03

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

PENNDOT – Engineering District 10-0

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Audit Criteria

External requirements (questions)

1. How is the closeout process affected on projects that were staffed with consultant inspectors and prior to the final 30 days the consultants were laid off and unavailable to assist with the process?
2. Do you believe that a 30 day turn in is a reasonable expectation for all projects regardless of size, duration and staffing of the project? What should the criteria be for project turn in?

External requirements (answers)

1. If the project is not audited during construction and errors are found during a Finals Unit audit, the consultant inspectors and/or office people are not available to correct the errors. Also, if in the 30 day time period, there are corrections needed and/or missing documentation from the consultants work, it is usually not possible to get the consultant to come back to fix the errors.
2. No, a set time period for all projects to turn in a project is not reasonable due to the varying size and complexities of the projects. Not all projects have the same amount of documentation needed to close out the project. Also, no one takes into account there are usually 8 weekend days, possibly a holiday or two if the projects end in October or November, and even days you are sent for training during this time period.

Internal requirements (questions)

1. Should the project record check-in sheet be included as one of the reference documents for this process? What about the final inspection form?
 2. As the IIC is the documentation discussed and documented at the progress meetings?
 3. Where is it mandated that progress meetings are required for the project?

Internal requirements (answers)

1. Yes, any form that is part of finalizing the job should be included.
2. A list of missing documentation is given to the contractor at each progress meeting. I also have informed the contractor at the first progress meeting, if we are missing documentation, an adjustment will show up on estimates to withhold payments for the items of work pertaining to the missing documentation.
3. Progress meetings are not mandated or required, but as per Pub 408, Section 108.03(b)2., they will be held on an as needed basis.

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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.

Areas to consider for improvement:

1.

Reconsider the thirty day as a universall time frame for all projects.

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

1.

Observations and auditor comments:

1. Link for reference to 30 day close out process is not connecting.

2.Does ECMS notify each approver when a work order is in the indivudauls queue to be approved.

Statement of overall effectiveness of the system:

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Distribution of Audit Report:

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

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

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