

**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>
PennDOT – Construction Unit	F01 Internal Audit	3-20-14 1:00 PM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Brian Steffy 2. <del>Allen Gemmell</del> -Sam Shaffer	Review process and determine conformity to QMS Manual

<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>
F01 Field Operations - Startup

<b>Auditee Comments:</b>
There were no problems encountered during the ISO audit. The process is working well.

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

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## Audit Criteria

### External requirements (questions)

1. How do you determine if a pre-bid meeting is required?
2. Who is involved in a pre-job meeting?
3. How does the District decide who outside Construction will be invited to the pre-job?

### External requirements (answers)

1. Discussions with design are held on the complexity of the project. Pre-bid meetings are only required if there are special operations that are not consistent with normal construction practices.
2. All Department Units that are involved with the project, contractors that are bidding on the project and consultant designers if applicable.
3. Municipalities are invited if the project involves traffic signals. On rare occasions FHWA and utilities are invited if needed.

### Internal requirements (questions)

1. Where is the pre-job memorandum template located?
2. How is the IIC assigned to the project?
3. When was the most recent change to the pre-job memorandum?

### Internal requirements (answers)

1. The document is kept by the Construction Services Engineer Secretary.
2. The IIC is determined in the design phase. The IIC is selected by the proximity from home to the project.
3. Last change was today - 3/20/14. The location of the document is to be changed to be available on the J:Drive and a link from the Quality Manual.

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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

The pre-job template is being kept current by updating as needed and available throughout the District.

### Areas to consider for improvement:

The hyperlinks from the Quality Manual need verified at a later date. They could not be tested at the time of the audit due to the J: Drive not working.

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

No observed nonconformities.

### Observations and auditor comments:

The process is working as designed.

### Statement of overall effectiveness of the system:

The system is effective at maintaining a quality process for Field Operations - Startup

### 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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