

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(01/13)**

Department	Audit Process	Date & Time of Audit
Consruction	7.5.1 LC1	Feb 26, 2014 13:00

Auditor(s)	Audit Objectives:
1. Steve Geidel 2. Rich Polenic	Review the Process to insure compliance

Name of Auditee(s)	Auditee(s) job Function
1. John Copeland	1. District 10-0 Labor Compliance Agent

Item(s) or areas audited
Subcontractor Approval Process LC1 (7.5.1) Internal Audit

Auditee Comments:
<ul style="list-style-type: none"> ○ No problems being encountered with this process currently.

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

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Audit Criteria

External requirements (questions)

1. Explain this process and how it is used to approve subcontractors?
2. How is a Subcontractor approved in ECMS and who is involved?
3. How is the Prime contractor notified of the approval?
4. Has there been any subcontractors recently(last 6 months) that worked without approval?

External requirements (answers)

1. Sub C 's are approved through ECMS Website. The process identifies the work approved for the sub to perform and then confirms whether or not the sub has any outstanding CRP issues.
2. Sub C's submitsofr approval, prequalificatins office reviews items of work, DLCCA performs CRP Check.
3. Sub Request is noted in ECMS as Approved. 4. No.

Internal requirements (questions)

1. Is there an ECMS list for contractors to view to pick subcontractors from?
2. When was the last time the flow charts were reviewed for updates?
3. Can subcontractors be approved for items of work they are not allowed to preform?
4. How long does it take to get a subcontractor approved?

Internal requirements (answers)

1. There are approved contractor/subcontractor lists as well as DBE lists in ECMS.
2. No Flow Charts in use.
3. Yes, A contr. Must submit to the Prequal. Office for a conditional approval for specific items.
4. The process can take anywhere from 20 min. to days depending on CRP issues.

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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 process seems to be efficient and working well.

Areas to consider for improvement:

1. None at this time.

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

1. None

Observations and auditor comments:

1. John has a good understanding of the process and how it works.

Statement of overall effectiveness of the system:

- The process appears to be very effective.

Distribution of Audit Report:

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

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

➤ **None.**