

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

Department	Audit Process	Date & Time of Audit
Construction	5.4	02/06/2015; 10:00 AM

Auditor(s)	Audit Objectives:
1. Carl Ray 2. Mike Masisak	To review process compliance with ISO 9001: 2008, Ver. 3.4, Section 5.4

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza, P.E.	1. ADE-Construction

Item(s) or areas audited
5.4 Planning

Auditee Comments:
○

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

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. Other than you, is there anyone else involved with Planning?
2. How is planning being completed? Is there a process or procedure in place?
3. Are the external and/or internal survey feedbacks being used as part of planning? If so, how are they used?

External requirements (answers)

1. The Support Services Engineer and the Assistant Construction Engineers/Managers are involved with Planning.
2. Currently meet informally twice a year to review procedures and operations.
3. Yes, they are reviewed when meeting informally twice a year (same time as in question #2). Prioritize the areas of concerns from the surveys.

Internal requirements (questions)

1. How do we ensure that our processes are defined in our Quality Manual?
2. How are resource needs identified and or measured?
3. How are changes occurring in the organization identified and tracked?
4. Are there procedures in place for reviewing the Quality Management System processes?

Internal requirements (answers)

1. The internal and external audits are reviewed and summarized the deficiencies.
2. The resource needs are tracked by the Assistant Construction Engineers/Managers.
3. Good Example is Materials Unit: The unit needs one additional personnel for covering Local Acceptance Testing. Therefore, transferred a Construction Unit personnel to Materials Unit to cover that type of operation.
4. Yes, twice a year.

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Reviewing the Quality Management System processes twice a year.

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. Consider creating a process flow chart for this section. The ADE seems to have an informal process in place. For a couple examples, having an informal review of some/all processes in the Quality Manual, and reviewing resource needs twice a year.

Statement of overall effectiveness of the system:

- It appears that the ADE have a process in place for Planning, but some fine tuning could be used.

Distribution of Audit Report:

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

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

