

**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 (F1)	September 24, 2015 9:00Am

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Doug Surkala 2. Mike Curry	Review process to insure compliance and improve effectiveness with ISO 9001: 2000 and organizational requirements. Verify that the QMS is effectively implemented and maintained.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Steve Vasbinder	Work Order Specialist

<b>Item(s) or areas audited</b>
7.5.1 (F1) Work Order Process

<b>Auditee Comments:</b>
<ul style="list-style-type: none"> <li>○ Doug and Mike were somewhat inexperienced in ISO but did a good job reviewing previous audits and came up with good questions that related to the ISO Work Order process.</li> </ul>

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

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## Audit Criteria

### External requirements (questions)

1. We had trouble finding the previous Audits and ISO history, as we had been trained to look for it on the District 10 web site, why is the ISO link not there now?
2. In previous audits it was mentioned that the contractors are involved in the Authorizations Process which is part of Work order process, has that changed since the implementation on V-3?
3. Have the Forms / Process been changed now with V-3?

### External requirements (answers)

1. The Department recently updated their website to be more “Customer” friendly, however when this upgrade was done they inadvertently lost the designs and links that the districts had functioning.
2. The Authorization process has not been effected with V-3. The Work Order process still follows the same path and workflows.
3. Work Orders are now processed in Web based ECMS system not in the software based Nextgen system. The systems are slightly different, however more user friendly, but still follow the requirements as set up in the POM Part B section 3

### Internal requirements (questions)

1. Is there anyone with sufficient knowledge and experience to act as a backup for you and if not are there plans to do so?
2. If additional funding is needed for extra or additional work, whose responsibility is that to funding the work?
3. Has the Extra Work price negotiation process changed with the event of PPCC?
4. It was indicated on a previous audit an Area to be considered that we perform training for field staff concerning the work order processes, has this happened since the last Audit?

### Internal requirements (answers)

1. Currently, Betty Botalli as well the Finals Unit Supervisor can process W.O. in the event I'm unavailable.
2. IIC works with the ACE/ACM who coordinates with the District Fiscal office to secure money if the addition amount is outside the Projects 4232 amount.
3. There is a Submittal process in PPCC for Additional/ Extra work, which follows a specific workflow to route the submittal to the people that need to review/ accept the appropriate people.
4. Actually we have incorporated District wide training into every winter school the last two years, and created Help guides to help our people to better interrupt the rules and guidelines in the 408 and POM.

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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 auditee has a good knowledge of the Work Order process which appears to be functioning per the POM Part B section 3

### Areas to consider for improvement:

1. Organized training for field staff concerning the work order process

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

1. None observed

### Observations and auditor comments:

- 1.

### 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)