

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

Department	Audit	Date & Time of
Construction	7.5.1 (CA1)	November, 2015

Auditor(s)	Audit Objectives:
1. Ray Suhadolnik 2. Greg Ingram	Review process to ensure compliance with publication 93.

Name of Auditee(s)	Auditee(s) job Function
1. Tan G. Boyer, PE	1. Consultant Agreement Engineer

Item(s) or areas audited
7.5.1 (CA1) – Execution of Consultant Agreements

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

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Audit Criteria

External requirements (questions)

1. Is there a process map in pub 93? How often is it updated and how are you notified it is update?
2. Who controls document?
3. Does process owners have any say in selection of consultant inspection firm?

External requirements (answers)

1. No specific map. Procedures are laid out in chapters in the pub.
2. Harrisburg CO. updates sent to districts automatically. CAE updates hard copy as necessary and has electronic version as well.
3. Harrisburg reviews selection and comments, but generally does not reject District's decision.

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Internal requirements (questions)

1. Who decides which consultant is picked? Is there a rating system in place (show one)?
2. Does tech and price proposal come after the consultant is selected? What if tech and price proposal is unacceptable? How is that reviewed and by whom?
3. Can consultant sub work out to other consultants and is this required to be known during consultant selection? Are consultants picked with respect to proximity to project(s)?
4. How does department know consultant inspectors in proposal are available and not assigned to another project?
5. Is there a deadline to procure consultant agreement from time of solicitation?
6. Does District know exact needs prior to selection?

Internal requirements (answers)

1. District team of 5. Consultant review team is based on type of project and which area of District. Picked by CAE.
2. Tech and price proposal generally not rejected. Consultant costs (salaries) governed by Harrisburg CO and overhead rates set as well. CAE reviews.
3. Yes. No.
4. They don't. Consultant submission says who the inspection team is.
5. Yes, time frames are set by Pub 93. Dates are not.
6. Yes. Project needs are reviewed prior to construction season.

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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. Auditee had very good working knowledge of process and procedures. Files are well organized and could provide examples both in hard copy form and electronically.

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. The rating system used to choose a consultant has been developed in-house and appears to be working well. There is no general rating system in pub 93 to make sure the rating is being done somewhat the same at all the Districts.

Statement of overall effectiveness of the system:

- The process appears to be working properly and effectively.

Distribution of Audit Report:

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

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

