

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

Department	Audit Process	Date & Time of Audit
Transportation	7.5.1 F4	10/13/15

Auditor(s)	Audit Objectives:
1. Dan Barr 2. Mark Wasilko	Process of Right to know, Treasury Database

Name of Auditee(s)	Auditee(s) job Function
1. Jeff Mountain	1. Final's Unit Supervisor

Item(s) or areas audited
Entire Process of Right to Know, Treasury database, and follow up to previous audit.

Auditee Comments:
<ul style="list-style-type: none"> ○ Auditor's were well prepared and asked valid questions. They were unwilling to accept simple answers, but instead dug into the root of the process to try to determine if the Department is doing the right thing.

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

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Audit Criteria

External requirements (questions)

1. How can the public access this information? Do they need to register for a website or establish an account?
2. Are updates to projects showing work orders and time extensions not done until a project is finalized out?
3. Does the database that shows work orders and time extensions also show original project information, i.e original project funding and time parameters?

External requirements (answers)

1. On pa treasury.gov; e-Contracts Library. Open to public. It was asked if this site was tracked for how many visits this site gets and the auditee thought it was not.
2. Generally done in the winter time. May be in final status, but usually not. Reviewed annually
3. Yes. Auditee showed us the “E-contracts Library” showing that it does have the project information inquired about.

Internal requirements (questions)

1. As a follow up to the last audit on this procedure performed on 12-11-14 has the process map been updated to reflect adding extra work items, and the second step revised to show the words that are cut off?
2. Who decides what information is redacted or not redacted?
3. In the process section of reference documents, is there still no applicable documents that could be listed here? Perhaps right to know law: act 3 of 2008

Internal requirements (answers)

1. Process has been internally updated on J drive, revisions added to flowchart and wording added. Externally (District website) is not updated.
2. District Labor Compliance Agent, then TCI. It was noted cost justification isn't in anyway which could have most of the personal employee information. Also Right to Know law dictates what is called a public record. Everything not a “public record” is redacted. Seek the guidance of RTK Coordinator if any information is questionable.
3. Was updated internally, following last audit. It is now reflected on current process which has yet to be updated on the current version of 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

1. Auditee was knowledgeable of this process and knew the answers asked or where to find the pertinent information.

Areas to consider for improvement:

1. Process needs continued efforts to get external information updated onto actual process and flowchart.

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

1. None

Observations and auditor comments:

1. Process is working and being effective

Statement of overall effectiveness of the system:

- System has a working process, therefore it is working.

Distribution of Audit Report:

- Final's Unit Supervisor
- A.D.E. Construction
- ISO Management Representative

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

- **Process needs to be updated with current revisions into the current Quality Manual.**
- **It was asked if this E-Contract's Library has a hit counter. I will follow up to see and ask the question of the site. Though we have a working process to meet the requirement, we could make an attempt to try to determine if the requirement is reasonable.**