

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

Department	Audit Process	Date & Time of Audit
Construction Unit	5.5	2-11-2015. Time 13:30

Auditor(s)	Audit Objectives:
1. Mark Kmetz, P.E. 2. Brade Guntrum	To review the process to ensure compliance

Name of Auditee(s)	Auditee(s) job Function
1. Tab Boyer, P.E.	1. Consultant Aggrement Engineer 2. ISO Management Representative

Item(s) or areas audited
5.5 Responsibility, Authority, and Communication

Auditee Comments: Everything is critical. Needs involvement from everyone, from bottom to top.

<u>Plan approved by: (Management Representative)</u> Tab Boyer, P.E.
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Audit Criteria	
<u>External</u> requirements (questions) 1. N/A	
<u>External</u> requirements (answers) 1. N/A	
<u>Internal</u> requirements (questions) 1. Is there any special training to be an ISO Management Representative? 2. Is this Appointment an annual or permanent appointment? 3. Is there a response / follow up after the annual meeting (winter school) 4. How do you ensure ISO is successfully carried out throughout the organization? Is this successful?	
<u>Internal</u> requirements (answers) 1. No Special training. Not cost effective due to training being held out of state. 2. Permanent appointment to this position. Part of position description/ documentation provided. Appointed by ADE 3. Follow up at management review meeting semi-annually. Meeting Minutes provided via Email to PD10-0 Construction (Dec 2014 meeting). ISO refresher and review held at construction winter school. 4. Through Internal audits and External audits, CPAR process (Corrective Preventative Action Request). CPAR process constantly improving ISO process. - Not as successful as it could be. Needs more employee buy in. All employees now are ISO certified auditors and are more involved.	

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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. Everything was documented.
2. Had a great overall knowledge of process.

Areas to consider for improvement:

1. More “buy in” involvement from construction unit personnel.

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

N/A

Observations and auditor comments:

As Internal Auditors we do receive and read the ISO meeting minutes.

Statement of overall effectiveness of the system:

Process seems to be successful

Distribution of Audit Report:

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

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

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NA