

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

Department	Audit Process	Date & Time of Audit
Construction	6.0	

Auditor(s)	Audit Objectives:
1. Larry Riggleman 2. Ben Matthews	To ensure effectiveness of processes and compliance with ISO 9001

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza	1. ADE – Construction

Item(s) or areas audited
6.1 – Provision of Resources 6.2 – Human Resources 6.3 – Infrastructure 6.4 – Work Environment

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. How do you enhance the customer satisfaction by meeting the customer requirements? – 6.1
2. What is the human resource controlled process for job descriptions ? – 6.2
3. Based on audit completed 3/18/13 since ISO is no longer on the District 10 website, is there plans to put it back on? – 6.3
4. If a field office is determined unsuitable, what are the steps then taken to correct this problem? – 6.4

External requirements (answers)

1. Customer satisfaction surveys are reviewed on a yearly basis. Results to these surveys are shared.
2. Job descriptions are approved by HR. The construction unit creates these and they are then reviewed by HR when some changes may need to be made.
3. Yes, ISO coordinator is working with IT. This may not be completed prior to external audit this year.
4. Discussions with the contractor are completed to correct issues, and this is not possible a new office is needed.

Internal requirements (questions)

1. How does the ADE maintain the quality management system and continually improve its effectiveness? 6.1
2. How are personnel made aware of the relevance and importance of their activities? – 6.2
3. If materials are needed to be replaced/repared how are these to be expressed to DGS? – 6.3
4. Are there any general parameters to achieve a suitable work environment? – 6.4

Internal requirements (answers)

1. External/internal audit reviews, quarterly ISO meetings, CPAR's. Process changes are identified at the quarterly meeting and updates are made.
2. Personnel is made aware of the relevance of their activities by EPR process, IIC meetings, ACE group meetings, and 1 on 1 basis when projects are visited.
3. Needs are discussed at the strategic management meeting quarterly. These needs are then ranked in order of importance. DGS meets and determines what gets done.
4. Look into access and cleanliness. Also if access to internet, electric, and power is available. Safety is also an important factor.

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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

Owner is well aware of all processes included in this audit.

Areas to consider for improvement:

Continue to work with IT to get ISO back on District 10 website.

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

1. No findings

Observations and auditor comments:

1. Refer to areas to consider for improvement.

Statement of overall effectiveness of the system:

- System functions as outlined.

Distribution of Audit Report:

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

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

