

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

Department	Audit Process	Date & Time of Audit
Construction Unit	5.3, 5.4, 5.5	02/29/16 - 9AM

Auditor(s)	Audit Objectives:
1. Kirby J. Starr 2. Terry Lezanic	Review 5.3 Quality Policy; 5.4 Planning and 5.5 Responsibility, Authority and Communication processes to insure compliance and effectiveness.

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

Item(s) or areas audited
5.3 Quality Policy 5.4 Planning 5.5 Responsibility, Authority and Communication

Auditee Comments:
<input type="radio"/> None

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

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Audit Criteria

External requirements (questions)

1. The QMS is available to external customers through the PennDOT Homepage, is the Construction Unit Quality Policy available to external customers also? If yes, where?
2. How is the 5.5.1 Responsibility and Authority conveyed to temporary and consultant inspection forces and how is the completeness of the task documented?

External requirements (answers)

1. No, it is not online. The Construction Unit Quality Policy has not been updated due to the current administration has not developed their Strategic Plan yet. The old Policy is posted in several areas of the Construction Unit.
2. As discussed at Winter School, all consultants & ESTIs are to review the training the day they start work on the project, Tab Boyer documents the completeness.

Internal requirements (questions)

1. Where can one find the construction unit Quality Policy and the current Administration Strategic Plan?
2. When is the Management Review meeting conducted and who attends?
3. What measure is used to determine the effectiveness of the internal questions?
4. Does training come under one of the resources needed to achieve quality objectives? How does this compare with the ban on training that is not mission critical? Is this commitment of resources to attain quality part of the process if the money for training is not available?

Internal requirements (answers)

1. The Construction Unit Quality Policy has not been updated due to the current administration has not developed their Strategic Plan yet. The old Policy is posted in several areas of the Construction Unit.
2. Twice a year, the Constructuction Administrative group attends.
3. Outside (external) audits and CPARS submitted.
4. Yes. Mission Critical for quality trainings are directly associated with technical aspects of construction. Non-critical are "management/supervision" type such as PLAM.

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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. Consultant and ESTI training of the ISO process.

Areas to consider for improvement:

1. Need to do a better job installing a new Construction Quality Policy and Strategic Plan when the administration changes.

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

1. None

Observations and auditor comments:

1. Plans for the Construction Quality Policy need to be established, not considered a nonconformity since issue is not directly related to Construction Unit.

Statement of overall effectiveness of the system:

- System is effective.

Distribution of Audit Report:

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

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

