

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

Department	Audit Process	Date & Time of Audit
District 10-0, Construction	8.5.2 8.5.3	4/22/2016

Auditor(s)	Audit Objectives:
1. Tim Acken 2. Dave Romanie	Review process & determine conformity to QMS manual.

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza, P.E.	1. Assistant District Engineer of Construction

Item(s) or areas audited
8.5.2 Corrective action 8.5.3 Preventive action

Auditee Comments:
○

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

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Audit Criteria

External requirements (questions)

1. Historically have there been any CPAR generated by our customers, what were the subjects of the CPAR's and what were the results? Have these processes been made directly available to our customers, why or why not?
2. As part of the procedure, the corrective action process shall consider customer complaints that arise via letters, facsimiles, emails and phone conversations from any source, if a trend is being observed. Who is responsible for discerning these trends from this collection of resources and what constitutes a trend?

External requirements (answers)

1. The public nor the contractor submit questions for CPAR's, however, in the interest of transparency the public can review the ISO process on the District website.
2. Surveys can show trends, these trends are then analyzed by the Construction Services Engineer and Assistant District Engineer of construction and various construction management staff. This group is responsible for discerning these trends, trends are patterns in public response that relate to the project and its actives over the entire course of the project.

Internal requirements (questions)

1. Why have the 8.5.2 Correctives Action and the 8.5.2 Preventative Action process never before been subject to the audit process? How are the processes determined to be audited.
2. Give some specific examples of CPAR's submitted by the employees as evidence the process is working as outlined in the manual. Are the CPAR submitters able to track the progress made on their submissions?
3. Where is the CPAR request log located? Who as access to this log? Is it accessible to the entire unit or is it available only to select individuals?

Internal requirements (answers)

1. An External audit recognized the management portion of the ISO process was not being audited.
2. All construction unit staff can submit and track a CPAR on any process in the office or out in the field.
3. The J: drive contains the ISO CPAR log and other ISO related information. Currently, the entire construction unit and most district employees have access to the J: drive files.

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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. ISO information is available both internally and externally for the majority of the process.
2. Identifying & implementation of corrective and preventive action plans for nonconformities with in the QMS.

Areas to consider for improvement:

1. A web link for the public to view CPAR's on the District website

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

1. N/A

Observations and auditor comments:

1. N/A

Statement of overall effectiveness of the system:

- The process is satisfactorily effective in fulfilling its purpose.

Distribution of Audit Report:

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

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

