

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction Finals	7.5.1 F2	12/14/16

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Rick Elliott 2. Dan Barr	Review Process to insure compliance and improved effectiveness with ISO 9001:2008 and organizational requirements.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Jeff Mountain	1. Finals Unit Supervisor.

<b>Item(s) or areas audited</b>
Finals Unit –Project Set up

<b>Auditee Comments:</b>
<ul style="list-style-type: none"> <li>○ Agree that project files list needs to be incorporated into P.P.C.C. as standard files.</li> <li>○ Need to work on installing the standard lump sum payment breakdowns in the 408 into the quick calcs. Payment system in V3.</li> </ul>

<b><u>Plan approved by: (Management Representative)</u></b>
Tab Boyer, P.E.

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. In reference to a project filing system, shouldn't PPCC and ECMS/V-3 be considered as to what is needed for a filing system?
2. If an IIC would find an improvement to ECMS/NEXTGEN is there form to submit the idea or change on that is tracked.
3. Is the Materials book being worked on to integrate it into the ECMS system for cross checking payments verse certed materials?
4. Can the Lump Sum 408 payment break downs be added to the ECMS numbers, were IIC add some information and the computer automatically sets up the payment times?

#### External requirements (answers)

1. Yes, working on improving the Electronic Files and less paper files. Being worked on on several project working owards on standard system.
2. No in place tracking system within the District. Jeff would be the contact for suggestions.
3. Being worked on in the early stages, working with the Sorce of Supplies to cross reference to V3 standard items for electronic approvals.
4. Has been discussed in the past, was some what in the old Next Gen program, but was not incorporated into V#.

#### Internal requirements (questions)

1. Can a standard packet of what is needed for the project (concrete book, IQ Book, etc.) be handed out at the pre-job according to the needs of the project?
2. Is the final unit working on any documentation training for new employee? Like a Grab and Go inspection guide for the new hires.
3. Is there a Grab and Go Work Order packet for the new Supervisors?

#### Internal requirements (answers)

1. Yes this is a good idea and the Finals unit can start bring them to the Pre Job.
2. Nothing has been developed as a guide line for inspectors on acceptable documentation procedures.
3. Yes, we have a work order hand out which can be recirculated to staff.

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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. Technical support for field staff with all of the new Technology and Programs being incorporated into the Construction Projects.
2. Keeping the construction staff supplied with needed materials and stream lining electronic filing.

### Areas to consider for improvement:

1. Expand the lump sum payments into quick calcs.
2. Follow up with development of V3 improvements.

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

1. N/A

### Observations and auditor comments:

1. Overall Finals unit Supervisor is very on top of this process and what is required.

### Statement of overall effectiveness of the system:

- System that is in Place needs to develop along with the new programs and technology.

### Distribution of Audit Report:

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

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

➤ N/A