

**PENNDOT – Engineering District 10-0  
ISO 9001 Internal Audit Report  
(02/06)**

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction – Finals Unit	7.5.1 – F3 Finals Unit Project Closeout	12/15/2016

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Sam Shaffer – TCM 2 2. Craig Silvis – TCM 1	Review ISO9001 process for Project Closeout according to Section 7.5.1

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

<b>Item(s) or areas audited</b>
7.5.1 F03 Finals Unit – Project Closeout

<b>Auditee Comments:</b>
<ul style="list-style-type: none"> <li>○ To assist with audits, during winter school presentation by finals unit we plan on stressing the importance of attaching backup documentation to the ECMS payment to allow instant audit without manually searching project file folders and source documents manually.</li> </ul>

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

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. What advancements are being made for field personal to access reference documents?
2. What is PPCC and how is it used?
3. How is the Department advancing in retainage of source documents turned in from the field?

#### External requirements (answers)

1. McDocs application on the Department issued I-pads creates instant access to reference documents used in the field. Standard and project specific reference material is readily available in ECMS and is accessible to all field personal.
2. Pennsylvania Project Collaboration Center (PPCC). Serves as a storage location for correspondence material between various entities such as PennDOT, Contractors, Designers, Consultants and various other reviewers and approvers. Categories are preset for submissions and workflow and roles for reviews predetermined. Timeframes are also tracked for reviews and players are notified of pending responsibilities via email. Access is only provided to partners who have either CWOPA or ECMS credentials/business partners.
3. PPCC Storage of documentation. A new initiative is being developed to link PPCC stored documents in EDMS for long term storage requirements.

#### Internal requirements (questions)

1. To assist in future research and follow up, what measures are being made to standardize project turn in?
2. In order to close out projects in a timely manner, what measures does the Department have to retrieve required documents from contractors?
3. To complete project closeout in a timely manner, what proactive measures are being used to prepare projects for closeout?

#### Internal requirements (answers)

- 1) 1) standardized the project filing system used in the field so regardless of the project, the file subject orientation is consistent. 2) PPCC also has a standard template for document research to project files. 3) Use of a standard "Record Check in" sheet(s) to record required documents and processes that must be completed prior to project turn in. 4) Project close out tracking records to insure all necessary required documentation is completed and stored with the project.
- 2) District uses a 30 day project turn in process requirement for all projects. Documents recorded on final inspection and due from contractors if not received within 10 days follow a process of notification from ACE to submit or risk contractor rating affecting their status. If no response in 10 days it is escalated to Construction Services Engineer and eventually payment to contractor adjusted to information provided or lack thereof if response is not received within allowable timeframe. This is similar to statewide specification in Pub 408 requiring 90 day submission of necessary information.
- 3) A field audit process is being performed by the Finals Unit in which auditor travels to the project during construction and performed real time audits on construction records which allows field personal to correct immediately instead of after project turn in for corrections. Payments to contractor are being tracked and withheld in the field for lack of documentation through an estimate adjustment process and are released upon receipt of documents from contractor, this forces contractor to comply prior to receiving payment for work performed.

External  
requirements  
(questions  
)

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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. The Best Practice in this process is the tracking of project status for project close out. The tracking sheets are circulated to all IIC's, Managers, ACE's, and ADE for accountability.

#### Areas to consider for improvement:

1. Provide sufficient training and system updates to field personal and IIC's to better organize records for correctness and timeliness. Provide understanding of new and useful tools that will assist in the goal of turning in projects with accuracy in required timeframe and to streamline the process.

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

1. None Found

#### Observations and auditor comments:

1. Finals Unit is trying to be proactive on creating and providing current and updated information to the field construction project. Finals Unit is willing to assist IIC's with questions and direction on turn in process. Field Personal also need to play an active role with learning all requirements and how to use all the tools available to them.

#### Statement of overall effectiveness of the system:

- The current system is consistently moving forward and advancing, being molded to its needs as they arise. To benefit all, teamwork needs to be realized from all parties to create an accurate and accountable system as technology advances. The current system is better than its history, but not as good as it will be as it advances.

#### Distribution of Audit Report:

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

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

