

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

Department	Audit Process	Date & Time of Audit
Materials Unit	M-1	November 16, 2016 2:30 PM

Auditor(s)	Audit Objectives:
1. Brian Heeter - (TCIS) 2. Mike Kozicki - (TCI)	Review the Material Supply Letter Process

Name of Auditee(s)	Auditee(s) job Function
1. Larry Riggleman	1. Assistant Materials Manager

Item(s) or areas audited
7.5.1 Material Supply Letter Process (M1)

Auditee Comments:
○

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

PENNDOT – Engineering District 10-0

ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. How are SOS Letters submitted for review to the Materials Unit?
2. What process is used to ensure material submitted is coming from an approved source?
3. How does the Materials Unit make sure payment is not made for unapproved material?

External requirements (answers)

1. PPCC now, next year it may move to ECMS
2. The SOS is checked against the bulletins and publications listed in the reference documents
3. That is the responsibility of the project staff, but the Materials unit does spot check when they are doing cert reviews

Internal requirements (questions)

1. Has S.O.L. 423-11-01 process been incorporated into the ISO process?
2. Have there been any new Strike Off Letters since S.O.L. 423-11-01? If so, what are their requirements?
3. What effect, if any, has PPCC (Share Point) had on approving materials for use on projects?
4. Has PPCC been incorporated into the ISO manual?
5. From the last audit, have the CS200 and CS201 forms been added as reference documents?

Internal requirements (answers)

1. Yes
2. No
3. PPCC has made the process trackable, and no waiting for a hard copy letter to the contractor and project staff for an approval or disapproval
4. Not yet
5. The CS-200 and CS-201 are the SOS forms generated, not reference documents to check compliance.

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Source of Supply Letters are sent via PPCC (Share Point)
2. Using on-line Bulletins.

Areas to consider for improvement:

1. Update the process to reflect use of PPCC.

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

- 1.

Observations and auditor comments:

1. Larry has extensive knowledge of the Source of Supply approval process and was very accommodating to the interviewers.

Statement of overall effectiveness of the system:

•
Overall effectiveness of the process is very good due to the reviewer's knowledge of the approval process. Source of Supply submittals are reviewed in accordance with current procedures. The process will need to be updated to reflect changes in the process (i.e. submittals from PPCC to ECMS).

Distribution of Audit Report:

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

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

