

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

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 (CA2)	10-26-2017

Auditor(s)	Audit Objectives:
1. Carl Ray 2. Mike Masisak	Review process to insure compliance and improve effectiveness with ISO 9001: 2000 and organizational requirements. Verify that the QMS is effectively implemented and maintained.

Name of Auditee(s)	Auditee(s) job Function
1. Tab Boyer	1. Consultant Agreement Manager

Item(s) or areas audited
Preparation of work order for open-end agreement.

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

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Audit Criteria

External requirements (questions)

1. When preparing a work order how is it determined what project may, or may not be able to be grouped together?
2. How is staff performance measured, is there a feedback of performance provided to consultants?
3. What is the department policy for having more TA's on projects to get new inspectors trained?
4. How can PennDOT actively draft consultants into our work force?
5. How are rates determined for the agreements?
6. Can a standard report be required that reflects OT running total, Total cost to date, and estimated cost at completion?

External requirements (answers)

1. The ACEs reviews their workload schedule, Department staff availability, type of projects, and location of projects to determine the needs.
2. Evaluations are completed at the end of the project by the ACE and the IIC, and reviewed with the consultant firm. Managers should be communicating on a regular basis.
3. TAs are determined on as-needed basis, size of projects, tasks needed, may be asked for.
4. Apply for openings through the Civil Service Commission.
5. Central Office sets the rates.
6. No. The IIC requests what they need from each consultant firm to meet their needs.

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Internal requirements (questions)

1. Who Sets the Scope of the Work Order?
2. What is considered a timely manner to set up consultant agreements?
3. How does consultant company performance get measured, to make sure meeting agreement requirements?
4. how are disputes resolved during procurement?
5. Are Kick Off Meeting with consultants held for communication of procedures during the agreement period?
6. Who is being trained to replace Tab Boyer if the need arises?

Internal requirements (answers)

1. I meet with the ACE/s to what are the needs at the time. All while keeping oversite under 9%
2. 5 months.
3. Just individual, Review work orders or agreements for completeness.
4. There are no disputes. Rates are set and non-negotiable.
5. Construction Inspection does not hold Kick off meetings, but will hold meetings at the firm's request. Along with APC meeting which discuss schedules and new information
6. Currently, No one, but others do have basic understanding.

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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:

The Consultant Agreement Manager appears to have a good control on the costs and uses the available technology to track all work orders for all open-end agreements.

Areas to consider for improvement:

1. None.

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

No nonconformities to the Pub 93 and ISO 7.5.1 (CA2) process were noted.

Observations and auditor comments:

Tab is very knowledgeable of the consultant agreement process.

Statement of overall effectiveness of the system:

Everything appears to be operating very well.

Distribution of Audit Report:

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

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

No follow up needed.