

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

Department	Audit Process	Date & Time of Audit
Construction	7.5.1 FO3	11/3/17 9:00 AM

Auditor(s)	Audit Objectives:
1. Dean Greenwalt 2. Doug Surkala (could not be present)	Focus on the District's in place processes and measures to comply with ANSI/ISO/ASQ 9001-2000 requirements of Procedure Field Operations – Project Closeout, FO-3

Name of Auditee(s)	Auditee(s) job Function
1. Jeffrey Mountain	1. Final's Unit Supervisor

Item(s) or areas audited
7.5.1 FO-3 Entire Process

Auditee Comments:
<ul style="list-style-type: none"> ○ I'm not currently serving as a Project Manager, but am very familiar with the closeout process as the Final's Unit heavily relies on this process to be properly completed before we take the project over.

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

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Audit Criteria

External requirements (questions)

1. Is 30 days a reasonable expectation for ALL projects regardless of size, duration, and staffing?
2. Do we have access to consultants who staffed the project for closeout and correcting audit findings?
3. Would mandating progress meetings @ 2 week intervals assist in project turn-in?
4. **Many of the Hyperlinks within the QM for this process do not work?**

External requirements (answers)

1. For most typical projects, yes 30 days is sufficient. However, exceptions should be granted with prior approval on a case by case basis with an individual recovery plan of what will be done to ensure project is turned in timely (maybe 60 days).
2. Sometimes, if the individual is working on another project within the District. Generally, the consultant agreement is NOT further utilized to bring a consultant back to work on documentation corrections.
3. Progress meetings COULD help if there are complex issues, but could actually become a hinderance if things are going smooth – one more thing to do in an environment where all are busy.
4. Each of these documents still exist, just at a new location so link has broken. Will be addressed in the 2015 re-write

Internal requirements (questions)

1. Do field audits of payments & material's book assist with project turn-in?
2. What is the biggest hinderance for a project manager to meet the 30 day turn in deadline?
3. Holding payment is the tool to obtain missing documentation. Would holding PSAs in QC Review status be a simpler tool to withhold payment than and Adj.?

Internal requirements (answers)

1. YES. If field audits are conducted regularly, then can identify missing certification, and payment corrections that can be addressed prior to the 30 day timeframe, then these issues do not need dealt with during the 30 days.
2. For most projects if the PM is given adequate time they can meet the deadline, but all too often other assignments are given in that timeframe such as winter assignments or other on going construction projects.
3. Reasons for the current adj. system include:

- Making contractor's upper management aware of missing documents
- Proving Dept. is not simply behind in processing payments
- In the suggested method a PSA could be approved by accident that was desired to be withheld to withhold payment
- Payments would need to be separated onto multiple PSAs if some were due (documentation in hand) and others were desired to be held

Reasons for the suggested withholding PSA method

- Could effect funding if significant adjustments are processed (effects encumbrance).
- Hard to track
- Another thing to do (create and monitor temporary adjustments)

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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. Many jobs are meeting the turn-in deadline.
2. Project Check-In sheet clearly indicates what needs done for a project to be considered turned in.

Areas to consider for improvement:

1. Hyperlinks need reconnected to proper locations where supporting information can be found.
2. Revisit 30 day Turn-In Plan and 30 day Umbrella deadline.

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

1. NONE

Observations and auditor comments:

1. Project Check-In Sheet should indicate where electronic documents are stored (P Drive, PPCC, Thumb Drive, Etc.)

Statement of overall effectiveness of the system:

- Working OK – Should be revisited to match what actually occurs – very few ACE & CSE letters go out to obtain missing documentation.

Distribution of Audit Report:

- Manager of area audited (S.Geidel)
- A.D.E. Construction (P.Koza)
- ISO Management Representative (T.Boyer)

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

