

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

Department	Audit	Date & Time of
Construction	7.5.1 SC3	Febraury, 2017

Auditor(s)	Audit Objectives:
1. Ray Suhadolnik 2. Warren Clever	Review process to ensure proper methods and compliance with documantations.

Name of Auditee(s)	Auditee(s) job Function
1. Tom Knieriem	1. Structure Control Engineer

Item(s) or areas audited
7.5.1 (SC3) – Project Initiation – Local Bridge Projects

Auditee Comments:
<input type="radio"/> none

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

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Audit Criteria

External requirements (questions)

1. How are you notified of projects, bid dates and contract lets?
2. Are all parties involved toed to stat standards and specifications?
3. Is notice to proceed and pre-job done concurrently

External requirements (answers)

1. Design PM for local project handles all distribution of info. In construction, construction manager John Copeland oversees projects. Structure control engineer then oversees all bridge related work.
2. Yes. All local bridge work follows state specs just as any other state related work.
3. Typically yes although prejob must happen prior to NTP.

Internal requirements (questions)

1. How much involvement does PennDot have in terms of monitoring the work?
2. Who are all the parties involved at the state level?
3. What is in a prejob package and who gets it?

Internal requirements (answers)

1. Owner (municipality) hires consultant firm for construction inspection. SCE generally visits site 2-3 times per month and as needed.
2. Design PM, Bridge Inspection, Municipal Services, construction manager, structure control engineer, geotechnical unit.
3. SCE handles prejob package for meeting – list of standard questions/checklist to go through – same as any state related work.

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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. Auditee had very good working knowledge of process and procedures.

Areas to consider for improvement:

1. Consider reformatting flow chart. Pre job conference and Notice to Proceed flows are separate and have no obvious relation to each other. However, NTP cannot happen until prejob conference has been completed.

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

1. NONE

Observations and auditor comments:

1. This process seems to relate to all state standards and processes.

Statement of overall effectiveness of the system:

- The overall process appears to be working properly and effectively.

Distribution of Audit Report:

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

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

