

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

Department	Audit Process	Date & Time of Audit
Construction Unit	5.4 & 5.5	4/5/18 11:00AM

Auditor(s)	Audit Objectives:
1. Rich Polenik 2. Ben Matthews	Review process to ensure compliance

Name of Auditee(s)	Auditee(s) job Function
1. Paul Koza 2. Tab Boyer	1. ADE-Construction 2. ISO Management Representative

Item(s) or areas audited
5.4 Planning 5.5 Responsibility, Authority, and Communication

Auditee Comments:
<ul style="list-style-type: none"> ○ N/A

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

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Audit Criteria

External requirements (questions)

1. Where can each individual that is assigned quality objectives find the tasks that are expected of him/her?
2. What is used to determine changes that are occurring in the organization require actions to maintain the integrity of the Quality management System?
3. What is permitted under the organizational freedom and authority to take necessary actions to manage their responsibilities?

External requirements (answers)

1. The document ownership can be found in the ISO document.
2. Changes come from strategic planning, Central Office, internal assessments, retirement look aheads, external audits, and ISO 2015 management review sessions.
3. Authority given via job description and previous external audits.

Internal requirements (questions)

1. How do we monitor that the Quality Management System is updated when required?
2. How are the requirements of ISO 9001:2008 monitored by the ISO Management Representative?
3. How does the ISO Management Representative report QMS compliance to the ADE?
4. What steps are we taking to address any findings that come up on customer survey results? How are these steps/findings being conveyed to all other employees that participated in the surveys?

Internal requirements (answers)

1. This is determined during ISO audits, through dashboards, and management review meetings.
2. Requirements are monitored through internal/external audits, scorecards, and dashboards.
3. Compliance is reported through ISO meetings and 1 on 1 meetings with the ISO representative.
4. Survey results are reported through various meetings and trainings such as winter school and IIC meetings. Consistent issues are then discussed with the design and maintenance units to try to avoid similar issues in the future.

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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 owners of these processes have a good understanding of their processes and do a good job keeping other members of the construction unit informed with items regarding the two areas.

Areas to consider for improvement:

1. N/A

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

1. N/A

Observations and auditor comments:

1. Owners are very knowledgeable of these processes.

Statement of overall effectiveness of the system:

- System is effective

Distribution of Audit Report:

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

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

