

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction	8.5.1 / CMP1	10/04/18 @ 8:30am

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Brian Sams 2. Warren Clever	Review of process to gauge effectiveness and compliance with ISO 9001:2015

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. John Copeland	1. Scheduling & Constructability Manager

<b>Item(s) or areas audited</b>
Procedures for After Action Review process

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

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## Audit Criteria

### External requirements (questions)

1. Is design invited to these meetings?
2. Do contractors participate in AAR reviews?
3. Who is this information shared with?

### External requirements (answers)

1. Yes
2. Yes
3. The contractor that worked on project and all units within the District.

### Internal requirements (questions)

1. What is an AAR and its purpose?
2. Do all projects require a AAR?
3. When is, an AAR conducted?
4. What are the reference documents for this process?
5. What is done with the findings from the review?
6. What is the risk assessment for this process with respect to district operations?

### Internal requirements (answers)

1. After Action Review. To identify things that went well and areas that could be improved.
2. Yes
3. Typically conducted after final inspection, however, sometimes an interim review will be performed.
4. The actual AAR form and references within 408 specification.
5. Findings are uploaded and maintained electronically on the “J” drive. All units have access.
6. Risk is rare – low consequence – score of two.

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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. Scheduling & Constructability Manager is proficient in tracking of this information to assist with job duties.

### Areas to consider for improvement:

1. Annually provide a summary of recurring comments/findings.

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

1. N/A

### Observations and auditor comments:

1. This process is a tool to use for project constructability reviews.

### Statement of overall effectiveness of the system:

- Process appears to be 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)

