

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

Department	Audit Process	Date & Time of Audit
Construction	8.5.1 – CA1	Sept 27, 2018, 8:30 am

Auditor(s)	Audit Objectives:
1. Ray Suhadolnik 2. Warren Clever	Review Process to ensure understanding and compliance with Pub 93

Name of Auditee(s)	Auditee(s) job Function
1. Tab G. Boyer, PE	1. Consultant Agreement Engineer

Item(s) or areas audited
8.501 CA-1 Execution of Consultant Agreements

Auditee Comments:
○

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

PENNDOT – Engineering District 10-0

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Audit Criteria

External requirements (questions)

1. Have there been any major or minor changes to Pub 93 since the last audit in 2015 that would affect this process?
2. How are consultants rated and where is that procedure locate in Pub 93?
3. Explain process in general terms.

External requirements (answers)

1. None. Auditee expressed that some changes could be made in ECMS for clerical needs, but overall no changes needs. Process work well as is.
2. The consultants are ranked on standard questions that are in Pub 93. Auditee was able to show those in Pub 93. 7 ranking categories.
3. ACEs provide needs pre-season. Agreements advertised. Statements of interest received. Firms ranked on questions (quest 2). Top form awarded contract in ECMS after District and State approval.

Internal requirements (questions)

1. What is the risk assessment for this process with respect to District operations?
2. Who determines the District consultant selection team
3. What is the process for placing specific constant inspectors on projects? Is this dictated in Pub 93 or is this a District specific task? Who has final say on what personnel go where?
4. Is there a process for moving consultant form one job to next? Can we remove personnel from projects? Is there a specific process for this in Pub 93?

Internal requirements (answers)

1. Risk assessments on all processes done to comply with 2015 standards. CA1 included. It was determined that only on rare occurances would the process be compromised as it is procured in ECMS. Low consequences if such and occurance.
2. District has dicretion on selection team, but generally includes CAE and ACEs as they are the ones that know the process and work directly with IICs and project needs.
3. Scope of work in ECMS deterimes placement of inspection staff on projects. Pub 93/ECMS verbage allows for movement/removal of personnel as needed.
4. Yes. IICs can generally do that if needed. Yes there is verbage to remove personnel on performance. Yes there is a specific process

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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 has very good working knowledge of the process. Auditee was able to locate info in the Publication with ease and demonstrated above and beyond internal organization to make the process simple and effective.

Areas to consider for improvement:

1. Auditee mentioned that some clerical improvements could be made in ECMS for ease of operation, but this does not specifically refer the Pub 93 and its processes.

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

1. None.

Observations and auditor comments:

1. The rating system developed by District 10 is well organized and provides a gives the CAE a consistent method for ranking consultants and the statements of interest. Pub 93 provides the questions, District 10 provides the ranking.

Statement of overall effectiveness of the system:

- System works as design and is performed very effectively at the District level.

Distribution of Audit Report:

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

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

