

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

Department	Audit Process	Date & Time of Audit
Construction Unit	8.5.1 – F4	November 8, 2018; 9:00am

Auditor(s)	Audit Objectives:
1. Steve Shilling 2. Tom Knieriem	To determine if process owner is compliant with process requirements and if any improvements can be made.

Name of Auditee(s)	Auditee(s) job Function
1. Jeff Mountain	1. Finals Unit Manager

Item(s) or areas audited
The effectiveness of the Finals Unit to upload work order and time extension information and documentation into the Department of the Treasury database.

Auditee Comments:
None

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

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Audit Criteria

External requirements (questions)

1. When are work orders and time extensions redacted? Is there a set time or frequency for this?
2. Should redacted documents be checked prior to uploading to the website?

External requirements (answers)

1. When staffing is available and generally the work is completed during winter months with temporarily assigned employees on winter assignments with the Finals Unit.
2. The process workflow does not indicate the document review is completed prior to upload. There could be a need to revise the workflow to change the sequence for reviews.

Internal requirements (questions)

1. How are work orders and/or time extensions determined to be “appropriate” for upload into the Department of Treasury database?
2. If there are multiple TCIs on assignment to complete this process, is there a training of sorts for them to properly redact the documents with consistency?

Internal requirements (answers)

1. All work orders and time extensions are to be redacted with the exception of work orders with a balancing net worth of \$0.
2. Yes. Training is completed by the Finals Unit Manager and/or the DLCCA and work is monitored during the early stages of the process for accuracy.

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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. Well defined process and scope.
2. Very knowledgeable and hard working personnel within the unit to manage this process effectively.

Areas to consider for improvement:

1. Consider a slight modification to the sequence of the process regarding review of documents to be uploaded into the database.
2. Consider a slight modification to the process scope of work to indicate the appropriate documents to redact and upload or not.

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

1. none

Observations and auditor comments:

1. There was very good discussion and dialog with the auditee during the process review. The auditee was receptive to the slight recommendations which came to light during the audit process.

Statement of overall effectiveness of the system:

- The process under review for this audit is currently working very well with very little room for improvement.

Distribution of Audit Report:

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

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

None

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