

**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>
Quality Management System	4.4 Processes	11/29/18

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Mike Kozicki 2. Marc Gardner	Review updated ISO 9001 (2015) including Process Risk Assessment

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Paul Koza	1. Assistant District Executive - Construction

<b>Item(s) or areas audited</b>
Process Risk Assessment / Matrix for Quality Management System

<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. Customer Expectations in Consequence Matrix is scored higher than the other categories. How does Management determine what it is a legitimate concern from one that may be a compliant that could stem from a personality clash or from a customer not getting something they thought they deserves?

### External requirements (answers)

1. Reviews of customer expectations are determined from notes during the design of the project through construction of the project. The concerns that were requested during design that come up again during construction are discussed between units. Communications are key to determining if an expectation is legitimate or not. Personality clashes between the IIC and public can be determined from field meetings by the ACE on the projects.

### Internal requirements (questions)

1. Do you agree with the rating? Would you rate it differently, if so, how and why?
2. The 4.4 Processes is the general procedure of overseeing the QMS, what is the benefit having a Risk Assessment on this process, and how does this help you?

### Internal requirements (answers)

1. Yes. This rating was discussed during the update to 2015. Ultimately the customers are funding the projects through taxes and should understand and be in agreement with the final results or understand why their request cannot be accommodated.
2. This sets the example for how other processes should be reviewed. This gives the criteria on what is important and how it can be interpreted in other areas.

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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 is aware and knows the process.

### Areas to consider for improvement:

1. None noted.

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

1. No nonconformities to the ISO 4.4 Process was noted.

### Observations and auditor comments:

1. Appears to be working effectively.

### Statement of overall effectiveness of the system:

- Appears to be very good.

### Distribution of Audit Report:

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

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

➤ No follow-up needed.