

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

Department	Audit Process	Date & Time of Audit
Construction Unit 10-0	Structural Plans Review	2/22/18 10:00AM

Auditor(s)	Audit Objectives:
1. Warner Barate 2. Mark Wasilko	Review process and update as needed

Name of Auditee(s)	Auditee(s) job Function
1. Tom Knieriem 2. Ron Schreckengost	1. Structure Control Engineer 2. Assistant Structure Control Engineer

Item(s) or areas audited
7.5.1 – SC1 Structure Plans review process

Auditee Comments:
<input type="radio"/> none

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

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Audit Criteria

External requirements (questions)

1. Under procedure in process (SCE, ACE, CSE, ADE) are listed. Should ASCE be added?
2. Is there typically any other reviewers that should be added? Perhaps a Construction Constructability Manager?
3. Per the scope mentioning also reviewing consultant designers are any consultant design builds not reviewed by District 10 construction unit reviewers?
4. Has a public meeting been held about a detour of the road for constructability purposes? Saves time and money, adds safety and increases quality.

1. Yes. It was suggested to add it to SCE (SCE and/or ASCE)
2. No. Typically only main construction personnel should be involved to avoid to many hands.
3. These are reviewed the same, maybe about once a year this may occur. On Alt. Bridge design this occurs.
4. Usually don't get involved with detours, input spreadsheet is utilized by design doing an analysis then taken to a public meeting and opinion usually outwayed by cost.

Internal requirements (questions)

1. Are all the reference documents current and up to date?
2. Do you get pertinent proposed special provisions in a timely manner?
3. Per 2/19/15 Audit when it was asked about improvements that could be made for a more consistent response method through design unit has this improved due to step 5 within procedure steps? (Design Project manager providing responses directly into DRS)
4. Was the old procedure an email or just an informal meeting with follow up notes?
5. Was this added by ISO management representative after this 2015 Audit?

Internal requirements (answers)

1. No. Revised process is pending will be included with 2015 updates per process owner inquiring with ISO management representative. Process owner had the current copy of the process and copies were made available. Otherwise they are available electronically and therefore generally updated. The last 5 reference documents were discussed as to why they are not hyperlinks and generally it is due to limited licensing of the specific document.
2. Yes. Viewed by construction review or DRS.
3. Yes. It is commented in DRS is used. Should be only 1 form not 2.
4. Used to be follow up notes. Email or DRS is the standard now.
5. Yes. Construction is still pushing for more punctual comments.

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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. Working knowledge of process and experience continue to keep process functioning.

Areas to consider for improvement:

1. Only use 1 form for consistent response through DRS and comment areas.

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

1. No nonconformities were identified.

Observations and auditor comments:

1. Recommended to add ASCE to SCE under Procedure: District 10 Construction Unit Reviewers (SCE and/or ASCE)
2. ISO Management Representative should confirm when accessing this procedure from the Internet, PennDOT homepage that the most current copy is made available.

Statement of overall effectiveness of the system:

- This process overall is functioning well with the exception of observations noted.

Distribution of Audit Report:

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

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

