

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(08/19)**

Department	Audit Process	Date & Time of Audit
Support	7.1 & 7.5	11-25-19, 8:00 AM

Auditor(s)	Audit Objectives:
1. Jim Malcolm 2. Brian Steffy	Prove that the QMS is being implemented in the sub-units

Name of Auditee(s)	Auditee(s) job Function
1. Rich Polenik 2. Brian Sams (Present and contributed) 3. Brade Guntrum (Present and contributed)	1. Materials Unit Manager 2. Asst. Materials Unit Manager 3. Materials Unit Staff

Item(s) or areas audited
<p>Due to the auditors being previously involved in the internal audit processes for numerous years, they knew the Process Owner (ADE-C) had participated in audits of similar processes, even before the conversion to ISO 9001-2015. Therefore, the auditors chose to go into one of the sub-units to prove the audit objectives.</p> <p>Verify personnel competency as assigned in QMS by Sub-unit Manager.</p>

Auditee Comments:
<ul style="list-style-type: none"> ○ Auditee #1 made sure to point out he was not the process owner.

<u>Plan approved by: (Management Representative)</u>
<p>Seth Marshall – Mgt Rep just returned to work the same day as the audit. Auditors reviewed audit plan the same day as the audit, not prior.</p>

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Audit Criteria

External requirements (questions)

1. 7.1.2 Within manager’s responsibility in QMS, how do you ensure those that are assigned responsibilities are competent? See purpose & procedure.
2. 7.1.4 Regarding non-state owned facilities and not a construction site, how do you ensure the maintenance of a suitable work environment for your staff?
3. 7.1.5 Outside our Construction Unit, when dealing with plants, contractors, maintenance units, or other parties, how do you ensure conformity and consistency with the measuring and monitoring devices?

External requirements (questions)

Internal requirements (questions)

External requirements (answers)

1. Unit manager clarified all his subordinates maintain certifications as follows: Asphalt field and plant to level 2(NECEPT). Concrete field only(ACI & PennDOT). Note an industry Concrete training is available but not required which some have attended, which Brade attended. Aggregate plant level. Within 2 years of receiving a new employee, they can be up at the same certification level as the others.
2. New plant facilities cannot be approved without established environmental requirements being met. Once approved the plant must be maintained or the plant could be suspended.
3. Local PennDOT units are not required to maintain devices. Plants and contractors within our District own and maintain devices that are calibrated by a 3rd party service.

Internal requirements (questions)

1. 7.5 Within your sub-unit, how did/do you decide what your process is for controlling documents and records?
2. 7.5.3 Within your sub-unit, how do you decide after a document (portion of a document) has been modified, how the information is distributed to the appropriate people?

Internal requirements (answers)

1. eCAMMS is used to document field and plant test results. Plant inspection reports are kept in hard copy now but as eCAMMS continues to develop it will include these and other commonly used reports. Brian Sams stated that he reviews forms being used regularly to ensure they are the most current. He and others continue to work to standardize and update common forms as they are being used in the plants or field. Materials being shipped from plants will continue to become a portion of eCAMMS through the use of the ESB (Electronic State Book) as Asphalt, Concrete and Aggregate industries are acclimated.
2. Most documents are controlled statewide through web-based access via Central Office control. The sub-unit monitors forms locally and updates applicable partners upon known modifications.

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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. This audit proved that the QMS is implemented within sub-unit through being pro-active.
2. Personnel competency and staff qualifications are the greatest strength of this sub-unit.

Areas to consider for improvement:

1. This sub-unit does very well with maintaining standards related to their work and proper distribution of updated documents. Future upgrades to statewide systems for testing and documents are in motion which will continue to improve the Unit's overall performance. No other areas observed needed improvements other than the ones currently being upgraded.

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

1. No nonconformities were discovered.

Observations and auditor comments:

1. The auditors observed a sub-unit that proves the QMS is being implemented to its full intent.

Statement of overall effectiveness of the system:

- The effectiveness of these processes within the unit and sub-unit are very positive. All sub-unit staff members are highly qualified and work diligently to maintain qualifications and update standards. The process owner provides authority to the sub-unit manager to make improvements as necessary.

Distribution of Audit Report:

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

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

