

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction	8.5.1 – LC2	12/18/19 @ 2:00 PM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Kirby Starr 2. Miranda Stiner	Eliminate duplication of electronic and physical record-keeping through PPCC, spreadsheets, and Labor Manual.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Betty Botalli	1. District 10-0 DLCCA

<b>Item(s) or areas audited</b>
8.5.1 – LC2 Labor Compliance – Project Review

<b>Auditee Comments:</b>
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<b><u>Plan approved by: (Management Representative)</u></b>
Seth Marshall

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<b>Audit Criteria</b>	
<u>External</u> requirements (questions) <ol style="list-style-type: none"><li>1. Are all required Labor Compliance information to be submitted in PPCC?</li><li>2. What reference / tracking documents are required for the process and where are they located?</li><li>3. Is there a report generated of your review findings?</li></ol>	
<u>External</u> requirements (answers) <ol style="list-style-type: none"><li>1. No. There are exceptions – Project review findings.</li><li>2. Bulletin Board documents, payrolls, CUF if Federal job, DBE commitment, Field Office safety requirements, Personal PPE.</li><li>3. No formal form at this time, that is changing.</li></ol>	
<u>Internal</u> requirements (questions) <ol style="list-style-type: none"><li>1. Should the Labor Compliance Manual in the Reference Documents be a hyperlink to a blank Labor Compliance Form?</li><li>2. Should the Project contract have a hyperlink to ECMS?</li><li>3. Should the Procedure list the following things being checked: Project Bulletin Board Checklist, Subcontractor Required Paperwork?</li><li>4. Should the Procedure Number 2 be Pages 1 through 11?</li></ol>	
<u>Internal</u> requirements (answers) <ol style="list-style-type: none"><li>1. No need.</li><li>2. No, it is in ECMS</li><li>3. It does.</li><li>4. No, there are multiple pages.</li></ol>	

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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. Following best practices

### Areas to consider for improvement:

1. Reconnect the ISO Manual and the hyperlinks.

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

1. N/A

### Observations and auditor comments:

1. Process is being followed very well. Process owner very knowledgeable. Changes coming to documents.

### Statement of overall effectiveness of the system:

- Very effective.

### Distribution of Audit Report:

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

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

