

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

Department	Audit Process	Date & Time of Audit
Construction	8.5.1 – C2	12/17/19 1:30PM

Auditor(s)	Audit Objectives:
1. Terry Kerr 2. Ben Matthews	To review the EPR process.

Name of Auditee(s)	Auditee(s) job Function
1. Steve Geidel	1. Construction Services Engineer

Item(s) or areas audited
Employee Performance Review Processing, 8.5.1 – C2

Auditee Comments:
○

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

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Audit Criteria

External requirements (questions)

1. Who tracks Construction Unit's EPRs are completed a month ahead of the end date and the supervisors are reminded ahead of time the rating period is coming up?
2. Who tracks that a new EPR and Position Description is put into place prior to the start of the rating period?

External requirements (answers)

1. HR department tracks and sends out notification when needed. Construction Unit does not track at all.
2. HR department tracks this, it is the supervisor's responsibility to complete the action.

Internal requirements (questions)

1. Would it be worth while to upgrade the electronic system to allow more than one supervisor to complete the rating when the employee splits time between more than one supervisor within the same rating period?
2. What process is in place to monitor that all supervisors are rating employees the same for similar performance?
3. Does anyone perform a QA/QC review of the EPRs and PDs? Who verifies all PDs are up to date?

Internal requirements (answers)

1. No, it is necessary for the multiple supervisors to keep track of subordinates performance and to share the information with the supervisor who is completing the EPR.
2. No formal process, but EPR training is in place to help make EPR's uniform.
3. Not aware of any QC/QA. Supervisor is responsible to do a yearly review of position descriptions when they are updated.

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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. HR unit tracking of the EPR process.

Areas to consider for improvement:

1. Set time frame for position descriptions to be reviewed and updated.
2. Consider moving the end of the rating period to the off construction season when supervisors are not as busy.

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

1. N/A

Observations and auditor comments:

1. Process seems to be working as is.

Statement of overall effectiveness of the system:

- Seems to be working in the current state.

Distribution of Audit Report:

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

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

