

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

Department	Audit Process	Date & Time of Audit
Construction	8.5.4	10/16/19 3:00 PM

Auditor(s)	Audit Objectives:
1. Dave Meagher 2. Jeff Mountain	To ensure compliance and identify need for improvement.

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

Item(s) or areas audited
8.5.4 Preservation

Auditee Comments:
○

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

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Audit Criteria	
<p><u>External</u> requirements (questions)</p> <ol style="list-style-type: none"> 1. Are the contractors who build our roads and bridges required to have preservation included in their Quality Manuals? 2. Are there any potential products the Construction Unit needs to ensure conformity of? 	
<p><u>External</u> requirements (answers)</p> <ol style="list-style-type: none"> 1. Not to the knowledge of the ADE. 2. No. 	
<p><u>Internal</u> requirements (questions)</p> <ol style="list-style-type: none"> 1. If the requirement generally doesn't apply to Construction Unit Services, why is it part of our Quality Manual? 2. How would one know when they meet the criteria to follow this process? 3. What Management Representative would be responsible for generating the special quality plan? 	
<p><u>Internal</u> requirements (answers)</p> <ol style="list-style-type: none"> 1. Fulfills the ISO 2015 requirements. Wetland preservation would be an example where Geotextile fabric is laid and covered with fill material in an area to be temporarily used for construction traffic, which can then be removed to return to an unaltered condition. 2. When project finishes and it can be confirmed that existing ground was not disturbed 3. Project ACEs are to monitor. This would come from the contractor and then be monitored against the quality plan which design would provide. 	

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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. Contractor is responsible – this requires the contractor to be responsible for preservation.

Areas to consider for improvement:

1. Needs a means to hold contractor accountable to ensure they create and follow processes for preservation.

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

1. N/A

Observations and auditor comments:

1. Process is covered in specifications, plan, and special provisions.
2. Not necessarily a process needed within Quality Manual.

Statement of overall effectiveness of the system:

- N/Ai

Distribution of Audit Report:

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

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

