

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

Department	Audit Process	Date & Time of Audit
Construction	8.6	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
8.6 Release of products and services

Auditee Comments:
○

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

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. Provide an example of measurement and analysis conducted and how that is used to monitor the ability of our process to meet planned results.
2. Is monitoring conducted against the Federal / State regulatory requirements or are internal targets set tighter to ensure success with meeting the requirement?

External requirements (answers)

1. The 3% Over Bid report is monitored monthly by the IICs/ACEs/ and ADEs. This is used as an indicator – there could be valid reasons, but this report alerts to look for why the projects cost is a significant amount over the bid amount.
2. Try to meet the State targets which are set slightly tighter than the Federal requirements. Examples are Accrued Unbilled Cost, Contract Time, Project Record Turn-In and Project Closeout.

Internal requirements (questions)

1. What would be an example of a special project or unique contract that wouldn't conform to our normal federal and state requirements?
2. How would an IIC know what required methods to use for measuring and monitoring or what the customer requirements are?

Internal requirements (answers)

1. Local Projects which are special grant or sponsor funded. Ex. would be a Trail Project. These are still monitored and we attempt to meet the same criteria of our standard projects, but they are considered an exception and sometimes the circumstances are out of PennDOT's control.
2. Project Dashboards are the same regardless of the project type. They stay the same project to project, so by looking at the Dashboard measures at the time of Dashboard reporting each month, the IIC is aware of the methods of measurement and monitoring.

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Method to monitor the project budget and project completion and a way to determine constructability and project completion issues.

Areas to consider for improvement:

1. Need a means to address outliers. Ex. Those projects greater than 3% over bid amount.

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

1. N/A

Observations and auditor comments:

1. If action point is exceeded – what then?
 - Where is the explanation captured?

Statement of overall effectiveness of the system:

- Good method of monitoring / tracking project and necessary changes

Distribution of Audit Report:

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

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

