

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

Department	Audit Process	Date & Time of Audit
Construction	8.7	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
8.7 Control of Nonconforming process outputs, products, and services

Auditee Comments:
○

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

PENNDOT – Engineering District 10-0

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Audit Criteria

External requirements (questions)

1. Provide an example of a non conforming service?
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. Anything design or maintenance is involved in. – constructability to try to control, but how they put the design together isn't really within our processes.
2. Set based on the state requirements which are set tighter than Federal. Ex. International Ride Index is a Maintenance measure – that value may be 90 as a state requirement and maybe Federal requirement is 70.

Internal requirements (questions)

1. Does this process address any potential non-conforming services.
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. CPAR would still be used, but may not be able to solution if it's a process that is controlled by design or maintenance.
2. Non-conforming when the product doesn't meet Specifications, Plan, Special Provisions, Etc. – process is in place to address how to handle non-conforming processes or products. May accept at a lower payment or reject the product.

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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. Use of eCAMMS
2. Use of Constructability Reviews
3. Use of After Action Reviews

Areas to consider for improvement:

1. Method to capture snapshot of District wide issues to communicate this with other units.

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

1. N/A

Observations and auditor comments:

1. No direction in this process to handle a non-conformity.

Statement of overall effectiveness of the system:

- Identifies non-conformities and provides a method of tracking and communicating, but doesn't outline resolutions.

Distribution of Audit Report:

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

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

