

**PENNDOT – Engineering District 10-0  
ISO 9001 Internal Audit Report  
(01/13)**

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction	8.5.1	02/21/2019

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Greg Ingram Paul Salava	To ensure compliance and identify need for improvement.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Betty Bottali	1. District Labor Contract and Compliance Agent.

<b>Item(s) or areas audited</b>
Subcontractor Approval Process LCI (8.5.1) Internal Audit

<b>Auditee Comments:</b>
○ None

<b><u>Plan approved by: (Management Representative)</u></b>
Tab Boyer

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## Audit Criteria

### External requirements (questions)

1. During the last audit of this process, it was identified as 7.5.1. When did the process change to 8.5.1?
2. Did you review the QMS to see if all documents related to the numerical change have been updated?
3. Has the improvement consideration from a prior audit been reviewed by the management review team?
4. Explain the approval process?
5. Who is involved in the approval process?

### External requirements (answers)

1. Changed in March of 2018.
2. Yes, at the same time of the change.
3. Yes, this has not changed.
4. Request business partner #, submit application, need to submit 3 contractor references, then conditional approval, Harrisburg will check to see if they use their own equipment and workers. Must own their equipment.
5. Harrisburg, Product Delivery, DLCCA, and prime contractor.

### Internal requirements (questions)

1. What happens when the contractor does not submit the (4339) prior to the beginning of work?
2. At what point must Central Office become involved in non-compliant EEO issues?
3. Can contractors be debarred from their inactions?
4. What should be our response to the contractor, when they submit their request the same day they would like to start working?
5. How long does a pre-approval for a work classification last?
6. Does a contractor need to be pre-approved periodically for their work classification?  
They are not allowed to work on the project. Can call the DLCCA to expedite the process.
2. Will start at the IIC, then to DLCCA, then to Harrisburg.
3. Yes, but could take a long time, maybe years.
4. "Until your paperwork is approved, the contractor can not work on the project".

### Internal requirements (answers)

1. 5. 5 years.
6. Yes, every 5 years.

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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. There is a system of checks and balances in place to ensure qualified sub-contractors are being utilized.

### Areas to consider for improvement:

1. None

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

1. None

### Observations and auditor comments:

1. The DLCCA is very knowledgeable of the process and procedures.

### Statement of overall effectiveness of the system:

- The system seems to be functioning as intended.

### Distribution of Audit Report:

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

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

