

**PENNDOT – Engineering District 10-0
ISO 9001 Internal Audit Report
(02/06)**

Department	Audit Process	Date & Time of Audit
PennDOT D10-0 Construction	8.5.1 F03	10/01/19 10:15 AM

Auditor(s)	Audit Objectives:
1. Stephen Boring 2. Kate Bailly	Ensure that the project closeout process can be followed as intended according to the Quality Manual.

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

Item(s) or areas audited
8.5.1 F03 Field Operations – Project Closeout

Auditee Comments:
<ul style="list-style-type: none"> ○ N/A

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

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Audit Criteria

External requirements (questions)

1. How do you ensure that all project documents are current?
2. Is there a defined set of consequences for external customers not meeting the requirements of the 30 day turn in plan?
3. Do contractors have access to the POM and other reference documents for closeout?
4. How do you maintain consistency between IICs?

External requirements (answers)

1. All forms have a date listed for the last updated version. Office manuals and publications are available online and updated by Harrisburg regularly.
2. If contractor does not meet 30 day turn in, a letter is sent by the ACE, and after 10 days with no response a second letter is issued by Assistant ADE.
3. POM and all reference documents are available online to the public, however most contractors do not use the POM.
4. IICs attend quarterly meetings to exchange best practices and information. Winter schools provides feedback and exchange of information also.

Internal requirements (questions)

1. Is there training available to new IICs on the process of project closeout?
2. Is 30 days to turn in a project really practical? (especially large projects with no designated office person)
3. Is the closeout process changing for paperless projects? Has it been updated?
4. As the process owner, how do you ensure that all the guidelines are followed for project closeout?

Internal requirements (answers)

1. There is no official training available, though management has tried to utilize TCIs as office persons in order to train for IIC role and promotion. Finals unit provides assistance as necessary for new IICs.
2. 30 day turn in is feasible for all jobs as a result of interim project audits by Materials unit and Finals unit. IIC is responsible for making sure project is in on time.
3. Process for paperless projects may need to be reviewed and updated to meet new requirements.
4. Finals Unit is responsible for maintain and reinforcing the criteria in this process.

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Overall Statement of Effectiveness of the Quality Management System
Areas of strength regarding ability to meet requirements- including observed <u>BEST Practices</u> <ol style="list-style-type: none">1. This process has a strong outline for projects and staff to maintain consistency in project turn in and meet expectations.
Areas to consider for improvement: <ol style="list-style-type: none">1. Links from ISO process for Pub 408 and for Pub 72M give an error that the website cannot be found. Check links for usability.2. Paperless projects may require a process update.
Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled: <ol style="list-style-type: none">1. Links from ISO process for Pub 408 and for Pub 72M give an error that the website cannot be found. Check links for usability.2. Paperless projects may require a process update.
Observations and auditor comments: <ol style="list-style-type: none">1. Project turn-in is clear and easy to follow.
Statement of overall effectiveness of the system: <ul style="list-style-type: none">• Process is effective in regards to one location for several reference manuals during Field Operations with the exception of links that do not function.
Distribution of Audit Report: <ul style="list-style-type: none">• Manager of area audited• A.D.E. Construction• ISO Management Representative
Unit Manager Comments Including Follow-Up Action: (if any) 