



# SC Audit Program

## Revision and Approval

Revision	Date	Nature of Changes	Approved By
0	07-31-2020	Original Issue	Richard Foley

[Click here](#) to request previous versions      Contact [SC Technical Team Q](#) for questions

## Background

This process establishes Structure Construction (SC) roles, responsibilities, and procedures for establishment and operation of an Audit Program (AP) as directed in the [SC Quality Manual](#), Section 9.2, *Internal Audit*.

Audits are an essential activity in the “Check” part of the QMS Plan-Do-Check-Act cycle. SC Top Management is responsible for the effective operation of an Audit Program that provides evidence of whether SC business processes are functioning as intended. The audit assesses staff competency, organization knowledge, and project delivery skills and identifies areas where process improvement is warranted to effectively deliver project commitments.

### SC Audit Program

This process encompasses three types of internal audits performed under the SC Audit Program:

1. Organizational Audits
2. Office Audits
3. Project Audits

SC internal audits may be coordinated with cross-functional audits initiated by the Division of Engineering Services (DES) Audit Program.

Organizational audits, performed at the direction of the SC Audit Program Manager (APM), in response to SC Top Management direction, assess conformance with quality

objectives across multiple construction offices within SC. The SC APM-directed audits assess:

1. Safety knowledge and practices.
2. Training norms, standardized knowledge, and opportunity to train and advance in ability to administer construction projects.
3. Availability and stewardship of tools and equipment.
4. If there exists incomplete knowledge or inadequate resources, breaks in the chain of command, conflicts between SC and stakeholder directions, and inefficient operations.
5. Adherence to product delivery standards and utilization of management performance indicators.

Office audits are typically performed using [Form SC-6301](#), *Project Record Review*, per [BCM E-2](#), *SC Project Record Review*, by the Bridge Construction Engineer (BCE) Senior Specialist representing the Area Construction Manager to assess:

1. Safe operations throughout an office.
2. Training and staff competency.
3. Adherence to and effectiveness of SC processes.

Project audits are typically performed using Form SC-6301, *Project Record Review* per BCM E-2, *SC Project Record Review*, by a BCE on an individual project or group of projects on a scheduled basis as a training tool to assess adherence to SC processes.

Prior to reviewing this Bridge Construction Memo (BCM), it is essential to review any policy documents referenced above. The information in the policy document(s) typically will not be repeated in the text of this BCM.

## **Process Inputs**

1. Request for audit from SC Top Management
2. Audit schedule for the fiscal year

## **Procedure**

1. All work associated with this process is charged as:
  - a. [Project Direct – Construction](#) for Project and Office audits
  - b. [CapCorp](#) for organizational audits.
2. Inspection of field work for this process is:

- a. [Intermittent](#), occurring when an audit involves field work.
- 3. Review the [DES Audit Program Manual](#) for roles and responsibilities for auditors and auditees.
- 4. SC Managers:
  - a. Provide resources as needed for SC staff and supervisors to complete project, office, and organizational audits.
  - b. Ensure SC staff and supervisors participate as auditors or auditees.
  - c. Select topics for organizational audits.
  - d. Provide direction for addressing audit results per [BCM F-1](#), *SC QMS Management Review*.
- 5. SC Audit Program Manager:
  - a. Manages the SC Audit Program in accordance with guidelines established in the *DES Audit Program Manual* including:
    - i. Review annual schedule of project audits.
    - ii. Assess SC Top Management audit requests and determine audit level needs including:
      - 1. Organizational.
      - 2. Office.
      - 3. Project.
    - iii. Schedule audits.
    - iv. Develop audit objectives, scope, criteria, and resource needs.
    - v. Assign Audit Teams, audit duties, methods of collecting audit evidence and determining conformity.
    - vi. Monitor Audit Team performance to:
      - 1. Verify auditors follow audit procedures.
      - 2. Verify audit objectives are met.
    - vii. Review and assess management performance indicators and process data.
    - viii. Present audit reports to SC Top Management.
- 6. SC Audit Teams:
  - a. Contact auditee to schedule audit activities including:
    - i. Request access to relevant documentation.

- ii. Determine site specific requirements for access, security, and safety considerations.
  - b. Conduct audits.
  - c. Develop audit findings and audit reports.
  - d. Deliver audit reports to the SC Audit Program Manager.
- 7. SC Staff and Supervisors will:
  - a. As members of SC Audit Teams, perform audit duties as directed by SC Audit Program Manager including:
    - i. Attend team briefings.
    - ii. Review information relevant to work assignment.
    - iii. Assist with preparation of working documents.
    - iv. Perform audit inspections as requested.
    - v. Safeguard confidential audit information.
  - b. As member of auditee staff will:
    - i. Cooperate with SC Audit Team.
    - ii. Provide project records as requested.
    - iii. Provide field access as requested.

## **Process Outputs**

- 1. Audit Reports

## **Attachments**

None