

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
PennDOT – Construction – GeoTech	GT5	10/17/12 8:00 AM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Anthony Brinklow 2. Terry Lezanic	Assure compliance of GT5 process

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. DGE – Alicia Kavulic	1. District Geotechnical Engineer

<b>Item(s) or areas audited</b>
Review of contractor submission

<b>Auditee Comments:</b>
<input type="radio"/> No comments

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

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## Audit Criteria

### External requirements (questions)

1. How long are the files kept?
2. How does the contractor submit technical documents?
3. How does the contractor receive an approval letter?
4. What reference documents are used?
5. What is a typical response time for reviews?
6. How do you measure customer satisfaction?

### External requirements (answers)

1. 7 years
2. Electronically through the FTP site or E-mail
3. Email a scanned document to Inspector In Charge, who forwards to the contractor.
4. Special Provision, DM-4 & Pub. 408
5. Two weeks or less
6. Annual customer surveys

### Internal requirements (questions)

1. How are the contractor submissions tracked?
2. Are the submissions reviewed within the allotted time specified by the special provision?
3. Is a Quality Assurance checklist available?
4. Is the process effective in achieving the required results?
5. Are submissions received that are outside of the Geotechnical expertise, and how are they handled?
6. Are any technical documents used for reviews that should be listed in Referenced Documents?

### Internal requirements (answers)

1. Electronic spreadsheet
2. Yes
3. Yes
4. Yes
5. Rarely but when needed internal source or Central office along with affiliated construction project consultant can be used
6. No

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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. Maintaining spreadsheet and records of submission. Process appears to be working efficiently.

### Areas to consider for improvement:

1. None noticed

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

1. None.

### Observations and auditor comments:

1. Well organized and efficient process.

### Statement of overall effectiveness of the system:

- Good.

### Distribution of Audit Report:

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

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

