

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

Department	Audit Process	Date & Time of Audit	
Geotechnical Unit	7.5.1 GT3	3-20-14	1:30 PM

Auditor(s)	Audit Objectives:
1. Ben Matthews 2. Steve Vasbinder	

Name of Auditee(s)	Auditee(s) job Function
1. Alicia Kavulic	1. District Geotech Engineer

Item(s) or areas audited
GT3 GeoTechnical Hazard Inspection and Remediation Process

Auditee Comments:
<ul style="list-style-type: none"> ○ This process has been updated, but not official just yet. Flowchart was updated. Emergency vs. non emergency added to the tracking sheet.

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

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Audit Criteria

External requirements (questions)

1. In step 2 of the process it indicates that a Hazard Worksheet is completed once notified of potential hazard, where is the Hazard Worksheet being filed – Couldn't locate the indicted Geotechnical Tracking File indicated on the Process flow map
2. Was this Process followed on the recent Rt 28 Slabtown project? Can you show us that?
3. After the initial field view of the suspected hazard is done and the data collected the Dist Geo Engineer determines wheather drilling is required how is this done?
4. Is the above always done the same way?
5. Should this be definded in the process

External requirements (answers)

1. Information located directly in file. As of now nothing is stored electronically, and there is no plans for this to change. The process is usually the county informs unit and an timeliness of investigation depends on severity. Fire Academy Road Slide is an example of the slide being investigated the following day.
2. Process was not followed since the slide was in construction plans to fix this issue.
3. Drilling decision is made based on engineering judgement. The judgement of what caused the slide is done (washout, eriosion, pipe failure...) If determined to be a slide drilling will be done. Sometimes if slide is located above the road drilling is not completed.
4. No, each individual slide is different.
5. No, checks are done to see if there is an old slide. Data is always collected. Review all old information that we have on this area. This is not needed in process since it is all based on engineering judgement. There is too many details and so many differences per slide for this to be a standard process.

Internal requirements (questions)

1. Has a cost analist on the entire ISO 9001 process ever been completed to verify that it truly gives our external customers (tax payers) a reasonable value for its cost?
2. Once an issue is discovered, if not fixed, how often is the area of concern inspected? What all is involved in this?
3. Is this information only tracked at the district level, or is the state also tracking the hazard information?

Internal requirements (answers)

1. No, never been completed. Consultants would cost more based on their charges. Judgement used on drilling to save money if possible.
2. Depends on situation. Maintainence keeps an eye on areas of concern in passing. If we think it is moving more concern is placed on the area. Slope inclinometer are sometimes placed in the location. Placed in a boring hole and monitored to see if the slope is moving. Old slide locaitons are checked at least once per year. Severity of the slide determines the frequency that it is checked.
3. District only, not being tracked at the state level.

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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. Geotech Unit monitors and takes action according to the process when a slide or hazard comes about.

Areas to consider for improvement:

1. Current process graph is not in ISO Manual needs updated.

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

1. N/A

Observations and auditor comments:

1. Owner seems to be on top of the process.

Statement of overall effectiveness of the system:

- System working with minimal issues.

Distribution of Audit Report:

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

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

> **N/A**

Will discuss graph issue with GeoTech