

**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>
Geotechnical Unit	7.5.1 GT6 Mine Variance Review	11/20/14 08:30

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Dave Schaffer 2. Greg Ingram	To understand the process of reviewing mining permit applications to see if they fall within the variance area and if so, what needs to be done by the mining co.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Alicia Kavulic, P.E. 2. Anthony Brinklow	1. Geotechnical Engineer 2. Assistant Geotechnical Engineer

<b>Item(s) or areas audited</b>
The Departments process of receiving, reviewing and approving variances for mining applications where the mining is within 300 feet of a state route.

<b>Auditee Comments:</b>
○

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

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. How are the permit requests received from DEP and what information is provided?
2. Is there a contingency plan for emergency collapses?
3. How long is the information kept on file and where is it kept.
4. Will changes be required in signing and posting of roads/bridges?

#### External requirements (answers)

1. DEP sends in a location map and permit application. If the operator intends to mine within 100' of PennDOT's right-of-way, the Geotech Unit informs the operator and DEP that a variance will be required.
2. No – Dealt with separately as they come up. A variance is not granted for a deep mine, therefore a collapse will not occur within the variance area.
3. Currently all mine files are kept. They are in the storage in the basement and in separate desk drawers. An Excel sheet is also used for each county.
4. No.

#### Internal requirements (questions)

1. Are the design and Maint. Units consulted/notified of these requests?
2. Are soil and or rock stata studies conducted to ensure no negative effects from mining operations?
3. Are ADT and existing roadway conditions considered.
4. Does anyone monitor the mining operation to ensure they are complying with requirements?
5. What happens if problems occur after mining ceases?
6. Does DEP hold bond money for repairs?
7. Is there a data base kept for mining permits?
8. Is there any type of final inspection to close permit out?

#### Internal requirements (answers)

1. Maintenance is notified. All design reports contact DEP for mining within the project area during the design phase.
2. No, Factors of safety and overburden are looked at to determine if operator may mine in the area. This applies to deep mining which is not covered with a variance.
3. ADT is not taken into consideration. All SR's are treated the same with standard details that the operator must conform with.
4. I check the variance area annually and 6 month mining maps are to be submitted to show the progress of the mining operation.
5. The operator is responsible for remedying the situation.
6. . Yes for house or private property damage only, not road repairs
7. . Yes on the "J" drive
8. . No final inspection takes place

# PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

## Overall Statement of Effectiveness of the Quality Management System

### Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Strengths identified are that DEP and PennDOT work together and that permits are kept on file for an extended period of time even after the mining operation is closed out.

### Areas to consider for improvement:

1. Possibly should have a final inspection or close out meeting with the operator.
2. Possibly involve the Design unit in mining variance/permit notifications.

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

### Observations and auditor comments:

1. Mr. Brinklow was very knowledgeable of the process and answered ALL questions with confidence.

### Statement of overall effectiveness of the system:

- The system as in place appears to be working very well and is very detailed and specific in what steps are to occur to handle any permit applications.

### Distribution of Audit Report:

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

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



**No Action necessary - TGB**