

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

| Department | Audit Process | Date & Time of Audit |
|------------------------------|----------------------|---------------------------------|
| Construction, Materials Unit | M4 | 3/12/14 10:00 AM |

| Auditor(s) | Audit Objectives: |
|------------------------------------|--|
| 1. Betty Bottali 2. Joe Painter | To audit the process for Bituminous Asphalt Plant inspections. |

| Name of Auditee(s) | Auditee(s) job Function |
|---------------------------|--------------------------------|
| 1. Dave Shaffer | 1. TCIS - Materials |

| Item(s) or areas audited |
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| Initial Bituminous Asphalt Plant Inspection - Annual |

| Auditee Comments: |
|--------------------------|
| none |

| <u>Plan approved by: (Management Representative)</u> |
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PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. How do plant personnel know what is expected for plant certification?
2. How are changes to Department requirements relayed to the vendors?
3. Past audits asked if a computerized system was developed to track findings and inspection needs? Has this ever been completed, or is it still not necessary?

External requirements (answers)

1. The requirements are outlined in Publication 408, Bulletin 27, Bulletin 41, and the Project Office Manual. Also, the Materials Unit created a spreadsheet which combines all of the requirements into one document.
2. The Plants get updates through PAPA meetings, Bulletin 27, & Pub. 408, as well as by word of mouth.
3. No, a computerized system was never completed and is still not necessary to do so.

Internal requirements (questions)

1. Are all unit employees eligible to conduct plant inspections?
2. What trainings/certifications are required by our inspectors?
3. Is there a standard checklist that is used to complete the plant inspections?

Internal requirements (answers)

1. Yes, all unit employees are able to conduct plant inspections. The inspections are more efficient than in the past, with the help of the spreadsheet mentioned in question 1 above.
2. None are required, but being familiar with Bulletin 27, Pub. 408, and being NECEPT certified is helpful. Plant technicians need to be familiar with Bulletin 27 and Pub. 408, to be NECEPT Level I or II certified, and to have a current weighmaster license.
3. Yes, the spreadsheet that referred to in question 1.

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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> The plant inspection checklist created by District 10 effectively combines all requirements needed. |
| Areas to consider for improvement: None found |
| Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled: No nonconformities found |
| Observations and auditor comments: none |
| Statement of overall effectiveness of the system: The process seems to be working well. |
| 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) |