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

Department	Audit Process	Date & Time of Audit
Geotechnical Unit	GT2-Const. Consult.	2/2/15 7:30 AM

Auditor(s)	Audit Objectives:
1. Warren Clever 2. Jeff Mountain	Insure compliance with ISO 9001 and that the QMS is effectively implemented and maintained.

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

Item(s) or areas audited
The process for coordinating and performing construction consultation by the Construction Geotechnical Unit on construction projects concerning Geotechnical issues including: caisson work, footer checks, test piles, slope construction, borrow material approval, etc.

Auditee Comments:

- N/A

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

Tab Boyer

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Audit Criteria
External requirements (questions) 1. Provide an example of what the communication and documentation would look like for a footer check. 2. What is the preferred method of contact for an IIC to request Geotechnical Consultation? Is there a single point of contact? 3. Is there a standard form used to document this consultation? 4. Is there sufficient staff to handle concurrent requests from multiple projects or how are the requests prioritized?
External requirements (answers) 1. Project calls Geotechnical Engineer. Geotechnical reviews plan ahead of time and schedules date and time of site visit. Consultation is tracked on Geotechnical Tracking sheet. Project documents visit and findings in PSA and applicable forms. 2. No preferred method. Project generally calls or emails Geotechnical Engineer, but it's ok to contact others in the unit as well. Dry erase board in Geo.Unit tracks scheduling so all in unit are aware of schedule changes. 3. Each type of consultation (footer check, caissons, etc.) has it's own form that the inspection staff completes. Geotech. uses spreadsheet to track visits. 4. Typically enough staff (AJ Brinklow, Ron Schreckengost., Alicia Kavulic, Ray Suhadolnik and Tom Knieriem and Steve Geidel can be used as backups. Would prioritize according to the consultation needed if necessary, but never had to do that.
Internal requirements (questions) 1. Has there been any cross-training with other Districts to see how they complete this function? 2. What is done in the event of a conflict between recommendation of the Geo Unit and the opinion of the contractor? 3. Is this process utilized to schedule compaction testing? Investigative core boring? 4. How would a new IIC realize the need to contact the Geotechnical Unit for consultation?
Internal requirements (answers) 1. No, this is the responsibility of the Structure Control Engineer in many other Districts. 2. Conflict is genrally how to pay. Ex. – Undercut. Geotech. is open to options, but work is stopped if ther is a disagreement or issue unitl it can be resolved. Contractor generally listens – spec supports that Geo has the final determination. 3. No. Different processes are used to schedule compaction testing and core boring. 4. Test piles – written in specifications. Note in the plan for caisson work. Special Provision dictates Geotech. approval for use of 206 rock.

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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. By looking at report Geotech. uses to track their construction consultation it's obvious the process is working well. Visits involving an approval are meausured / monitored for success and show good results

Areas to consider for improvement:

1. Follow up may be possible with the future implementation of CDS-V3 to ensure the project is properly documenting the Geotechnical Consultation.

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

1. N/A

Observations and auditor comments:

1. N/A

Statement of overall effectiveness of the system:

- QMS is being effectively implemented and is accurate to this process. Geotechnical Unit is compliant with their QMS process.

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**