

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

Department	Audit Process	Date & Time of Audit
Geotechnical Unit	7.5.1	2/26/2015- 10:00AM

Auditor(s)	Audit Objectives:
1. Seth Marshall 2. Mike Stonbraker	Review the GT4 process and ensure that it is in compliance with the QMS Manual.

Name of Auditee(s)	Auditee(s) job Function
1. Alicia Kavulic 2. Anthony Brinklow	1. District Geotechnical Engineer 2. Geotechnical Assistant

Item(s) or areas audited
7.5.1/GT4 Geotechnical Review of Consultant Reports

Auditee Comments:
<ul style="list-style-type: none"> ○ Process has been revised awaiting approval before it can be implemented.

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

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

Audit Criteria

External requirements (questions)

1. Referring to the last Audit on this process; has the electronic Pub. 293 been completed?
2. How are review requests made from the Design Project Manager? Electronically or paper copy?
3. How are the consultant reports submitted? Electronically or paper copy?

External requirements (answers)

1. The Pub. 293 is still in progress for revision. The electronic copy is used so the most up to date information can be utilized.
2. Electronic versions are reviewed as paper copies would be too large. Correspondence are maintained within the J:/
3. Electronic copies are submitted via PPCC.

Internal requirements (questions)

1. Where are the revised reports and memos filed?
2. Are comment memos electronic or paper?
3. How is the CSE/ADE-C notified of the report submission?

Internal requirements (answers)

1. Items are filed within the Geo Unit in the District Office basement.
2. Paper copies are printed out for signatures, but then electronic copies are made and kept on the J:/ drive
3. The CSE is always notified and kept up to date with report submissions.

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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. It is obvious that the members of the Geotechnical Unit use and follow this process due to their responses.
2. The auditees were able to show examples of projects

Areas to consider for improvement:

1. Show location of tracking sheets within the process map.

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

1. None Observed.

Observations and auditor comments:

1. The Auditee was able to show how the process is currently in use and being tracked.

Statement of overall effectiveness of the system:

- The current process is working effectively and the new process should be even clearer.

Distribution of Audit Report:

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

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

