

**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- 10:00 AM

Auditor(s)	Audit Objectives:
1. Seth Marshall 2. Mike Stonbraker	Review the GT5 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/GT5 Geotechnical Review of Contractor Submissions

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

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Audit Criteria

External requirements (questions)

1. Is there a standard submission form the contractor uses that is applicable to the type of submission being made to the project?
2. Is the Design Unit involved in contractor submissions on projects that were consultant designed?
3. Is there an ideal standard for turn around time on review of contractor submissions?

External requirements (answers)

1. PPCC is the main method of contractor submissions.
2. The Design Unit is involved in reviews. Work is given to Consultant's to review if the Geo Unit is overwhelmed with submissions.
3. Generally, there is a very fast turn around but a maximum of 2 weeks is allowed for turn around.

Internal requirements (questions)

1. Is there a retention schedule for contractor submissions?
2. How/ Are contractor submissions tracked?
3. How is the CSE/ADE-C involved or notified in contractor submissions?

Internal requirements (answers)

1. Submissions are retained with the project files.
2. Within PPCC and on a Geo internal spreadsheet for tracking.
3. The CSE is not involved in this process unless a situation warrants escalation for CSE involvement.

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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)

