

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

Department	Audit Process	Date & Time of Audit
Materials	7.5.1 M5	1/29/15 at 11:15 am

Auditor(s)	Audit Objectives:
1. Dave Anderson 2. Kate Bailly	Review 7.5.1 Initial Concrete Plant Inspection-Annual M5 to ensure compliance and effectiveness with ISO 9001.

Name of Auditee(s)	Auditee(s) job Function
1. Greg Carnahan 2. Larry Riggleman	1. TCIS 2. TCIS

Item(s) or areas audited
7.5.1 Procedure M5 Initial Concrete Plant Inspection-Annual

Auditee Comments:
<ul style="list-style-type: none"> ○ This process is well refined and works well in the environment required.

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

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Audit Criteria

External requirements (questions)

1. Is the request and scheduling of plant inspection by concrete producer for initial approval only or is this done yearly?
2. Is there a time limit for producers to make necessary changes to complete plant requirements? Is there a waiting period between failure to comply and request for re-inspection?
3. When a plant qualifies for a Bulletin 42 listing for the year, are periodic inspections required within that year? Should this be a part of the process map?
4. Is there a limit on the number of inspection /approval requests for a plant?
5. Is there a time limit between request and inspection?

External requirements (answers)

1. It is a yearly approval. The initial approval inspection is done on form 4109, then subsequent yearly approvals are done on form 4109R.
2. Plant with deficiencies is given 2 weeks to correct before reinspection usually. Sooner for plants producing material for a project currently.
3. QA performs periodic inspections to follow up on Bulletin 42 approvals. No addition to process as this is a QA process and not a part of the Materials process being audited.
4. There is no assigned limit of requests for inspection/approval but this is considered on a case by case basis.
5. Nothing official. It depends on scheduling with inspection staff and plant staff.

Internal requirements (questions)

1. What documentation is required for plant inspection? Is there a checklist?
2. Are there more details to the flowchart Plant Facility block?
3. If plant does not meet requirements of inspection, how are they notified?
4. Once approved, are more inspections required during the year?
5. What actions are required if the plant makes changes to equipment or location?
6. How are producer requests for inspection submitted?
7. Once plant inspection is approved, does this signify immediate approval or is Harrisburg responsible for the initial approval?

Internal requirements (answers)

1. There is a QA checklist from the POM section 704/2A that is followed for initial inspection.
2. The plant facility block is a generalization of Pub 408 specifications detailing rules for the stockyard and facilities. No addition to the flowchart is necessary.
3. Immediately following inspection with checklist documentation and verbally.
4. No, just the District QA inspection once per 20 days of production, non-consecutively. Or at inspector's discretion.
5. If plant moves, it is reinspected. Updates to equipment do not require reinspection, but may require calibration.
6. By phone or direct contact with inspector. Inspectors keep in touch with plants regarding approvals and yearly inspections.
7. Approval is official when form 4109 is complete and approved. Harrisburg is responsible for the update on site, but approval is immediate upon pass of inspection.

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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. Initial approval process is streamlined and yearly inspection requirements improve the quality of the product. Inspection files are completed with signatures and readily available with excellent documentation process.

Areas to consider for improvement:

1. None.

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

1. None.

Observations and auditor comments:

1. Greg and Larry are very knowledgeable of the process. The process map is being followed and meets the requirements.

Statement of overall effectiveness of the system:

- This process is working properly and assures that each plant is producing a quality product for the Department.

Distribution of Audit Report:

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

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

