

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

Department	Audit Process	Date & Time of Audit
Geotechnical Unit	7.5.1 GT 1	9/14/16 @ 2:00 PM

Auditor(s)	Audit Objectives:
1. Jeff Mountain (TCM-1 Finals) 2. Warner Barate (SCEST)	

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

Item(s) or areas audited
7.5.1 In-House Design Request GT1 (Entire Process)

Auditee Comments:
○

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

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Audit Criteria

External requirements (questions)

1. The last audit in 2013 indicated that the process was undergoing a rewrite. Was that completed? And, what changed?
2. If a project is consultant designed do they or the PennDOT PM request the Geotechnical Study?
3. Are all Geotechnical studies performed by the Geo Tech Unit?
4. Is there anything in place to ensure Geotech study gets done if necessary?
5. Is there any tracking or are there measures in place to monitor performance (turn around, accuracv. etc.)?

External requirements (answers)

1. The rewrite of the process has been completed. Only Minor changes to remove specific names and replace them with roles / positions.
2. PennDOT PM requests Geo Study, but consultant design projects complete there own Geo. work so they wouldn't be using this process.
3. No – consultant design projects perform their own Geotechnical studies which the Geotechnical unit reviews.
4. Design PMs track project schedule which ensures the studies get completed – scope is coordinated with Geo. Unit.
5. Use design tracking (Portfolio Report) to prioritize by let date. Always meet design schedules, baring special circumstances and this doesn't effect let.

Internal requirements (questions)

1. Where can the Geo Request Form be accessed?
2. What kind of Geotechnical studies are performed through this process?
3. Does the designer request specific studies or does the Geotechnical Unit determine what studies need performed based on the information requested?
4. How does the Geotechnical Unit receive the Geo Request Form?
5. Are there systems in place to ensure the study gets completed when requested?

Internal requirements (answers)

1. Design PMs have the form/ stored on the J Drive which all have access to.
2. Preliminary reports, drilling (core borings), foundation reports, cut / fill recommendations.
3. PM requests specific studies – they know what they need, but it is coordinated with Geo. Unit. PMs require specific reports.
4. Request for Geotechnical Investigation form is received via email or hand delivered accompanied by supporting documentation which may include plans, cross-sections, CADD files. Sometimes the site must be surveyed in advance of the Geo. Unit performing study to ensure accuracy of the locations of samples. Example was shown during audit.
5. Design schedules are met. Design PM tracks to be sure study is completed and received timely. Geo. Unit maintains tracking on a wall chart (white board) which is continuously changing to ensure work is being performed by priority to ensure studies are completed timely.

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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. Looks like the process is under control, white board seems like an effective way to track priority and current assignments.

Areas to consider for improvement:

1. Request for Geotechnical Investigations form indicates “WELCOM” which is no longer utilized – consider updating form. Consider showing position rather than individual to email the form to, to prevent the form from becoming outdated as positions change or just make a conscious effort to update the form when positions change (probably a good thing to show exactly who the form is to go to).

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

1. NONE – All in compliance according to established process.

Observations and auditor comments:

1. Geotechnical Engineer has a good grasp of the process and has implemented several best practices which keeps the process working effectively.

Statement of overall effectiveness of the system:

- Very effective process and the results prove it’s working well to meet the needs of 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)

- We will update the Geotech Request Form to change the “WELCOM” reference to “ASTA” to match the current scheduling system.