

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

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Geotechnical Unit	7.5.1 GT6 Mine Variance Review	11/16/2017 07:30

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Mike Kozicki 2. Brian Steffy	To understand the process of reviewing mine permit applications to see if they fall within the variance area and if so, what needs to be done by the mining company.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Tim Panzigrau 2. Ray Suhadolnik	1. Geotechnical Assistant 2. Geologist

<b>Item(s) or areas audited</b>
District 10-0 Mine Variance review process.

<b>Auditee Comments:</b>
<input type="radio"/> None

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

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## Audit Criteria

### External requirements (questions)

1. Referring to the “PennDOT Handbook for Mining Operations”, is it a controlled document/publication?
2. In the process map, it refers to proper safety measures. Where are these defined?
3. Who makes the decision regarding the mapping? What does the mapping look like? Does it include core borings, rock type/strata, etc.?

### External requirements (answers)

1. The handbook is not a publication. It is a controlled document within the District 10-0 Geotechnical Unit. It was developed prior to 1993 and could be adopted by other entities in the future if desired. It is now electronic and is updated in a controlled manner for future reference.
2. Safety Measures are in the Handbook in the body under, “Earthen Barrier Sketches” and in Appendix B under, “Plan of Intent.” The purpose is to designate a safety perimeter between the roadway and the mine.
3. The Geotechnical Assistant reviews the maps unless it needs the attention of the Geotechnical Engineer for exceptions. An example of a map was demonstrated and displays no other geotechnical data. The map showed the location related to the roadway. On average one variance is submitted annually that requires a field view for approval. This field view is performed while a Geotechnical representative is performing other duties.

### Internal requirements (questions)

1. Within the process, is there a title for the individual reviewing the mine variance application?
2. In the flowchart, what is the “CO Start” at the beginning of the process?
3. Is there a visual site inspection during or upon completion of mining operations to assess any damage to roadway/Department ROW?

### Internal requirements (answers)

1. The title is not listed in the process.
2. This is one of the typographical errors. A few others were discussed and will be corrected.
3. Visual site inspections are performed annually on any active variance. No notification is given by outside agencies upon completion of mining operations.

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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. The District 10-0 Geotechnical Unit seems to be a leader in the standardization of Mine Variance Review process by creating the manual prior to 1993.

### Areas to consider for improvement:

1. Correct typographical errors in the process
2. Treat the Reference Document as a Controlled Document by noting and dating any updates to ensure all printed copies are visibly up to date.

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

1. None

### Observations and auditor comments:

1. Auditees seemed knowledgeable of the process and some of the history.
2. The Geotechnical Unit has developed an electronic copy of the manual and it is now their controlled document.

### Statement of overall effectiveness of the system:

- The process is very effective in monitoring and issuing known mine variances in cooperation with outside agencies.

### Distribution of Audit Report:

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

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

