

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

Department	Audit Process	Date & Time of Audit
Construction Unit	7.5.1 M6	4/17/14 11:00 AM

Auditor(s)	Audit Objectives:
1. Greg Ingram 2. Paul Salava	Review 7.5.1 M6 District Quality Assurance, Hot Mix Asphalt Plant 30 Day Review

Name of Auditee(s)	Auditee(s) job Function
1. Greg Carnahan	1. TCIS, Materials Unit

Item(s) or areas audited
7.5.1 Procedure M6 District Quality Assurance, Hot Mix Asphalt 30 Day Review

Auditee Comments:
<ul style="list-style-type: none"> ○ Not sure if this process is benchmarked with other districts.

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

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Audit Criteria

External requirements (questions)

1. As a user, are there adjustments to the process which will benefit the process?
2. Is the 30-day inspection based on production days or calendar days?
3. Is plant documentation or test results much different for WMA vs HMA?
4. Has this process been compared with other districts?
5. Would this be a good process to track in PPCC?
6. Do you use your IPAD in this process? If yes, how?

External requirements (answers)

1. None that I know of, the process works, and provides the desired outcomes.
2. Mr. Carnahan said production days are used to determine inspection cycles, and it can be less than 30 days, but not more.
3. He said the records that they review are very similar.
4. The auditee is unaware of a process that compares review results across districts.
5. The auditee does not know if there would be a benefit to tracking the process in PPCC.
6. No, the information is processed on a laptop PC. There are not APS developed for this process.

Internal requirements (questions)

1. Do you have to call the plant and set up a visit and how early would this be done?
2. Who conducts the inspection for the materials unit?
3. Where do you log your review results?
4. Are failed results captured & compared throughout the state?
5. Which review component more frequently fails and why?
6. How can we use failed results to help producer performance?

Internal requirements (answers)

1. He said that most of the time just stop in to the plant.
2. He said it is usually done by him, Dave Z., or Miranda.
3. The results of the inspection/review, the results are kept in the District materials unit. A copy of the results are also kept at the plant.
4. The auditee is unaware of a process comparison of results across the state. He did not know if there would be value to benchmark this process.
5. There is no evidence that one review component fail more frequently than another.
6. Sometimes failed results observed are after the fact, discrepancies are always discussed with plant technicians and follow-up reviews are done to ensure compliance.

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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. Plant inspections and deficiencies are well tracked with forms so that any materials inspector coming in knows exactly what needs to be reviewed and what corrective actions need to be taken by the plant to resolve any deficiencies found.

Areas to consider for improvement:

1. The inspector had no suggestions for a process improvement. As a user he suggested to leave the process unchanged.

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

1. None.

Observations and auditor comments:

1. The materials unit keeps good records of this review process and cycle times for the review are followed.
2. Greg provided a copy of the P.O.M. process, as well as copies of the results to verify this process functions well.

Statement of overall effectiveness of the system:

- System is functioning well with no non-conformities found. QA audits the unit's performance.

Distribution of Audit Report:

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

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

