

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

| Department | Audit Process | Date & Time of Audit |
|-------------------|----------------------|---------------------------------|
| Geotechnical Unit | 7.5.1 GT4 | 3/29/18 11:00 AM |

| Auditor(s) | Audit Objectives: |
|-------------------------------------|--|
| 1. Allen Gemmell 2. Craig Silvis | Review the GT4 process and insure compliance with the QMS Manual |

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

| Item(s) or areas audited |
|---|
| 7.5.1 - GT4 Geotechnical Review of Consultant Reports |

| Auditee Comments: |
|---|
| <ul style="list-style-type: none"> ○ The process is effective in maintaining a standard process for consultant reviews |

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

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Audit Criteria

External requirements (questions)

1. The Pub. 293 was under revision during last audit. Has this been completed?
2. Has the new process been implemented since last audit?
3. Has the location of the tracking sheets been included in the QMS Manual?

External requirements (answers)

1. The Pub. 293 revision was completed and the current version is 2017.
2. The Geotechnical Unit is working under the current version and the process has been updated since the last audit.
3. The location of the tracking sheets has been included in the QMS Manual and added to the process map.

Internal requirements (questions)

1. How are the submissions accessed?
2. How are the comments addressed?

Internal requirements (answers)

1. The submissions are delivered in hard copy by the design project manager due to the amount of data contained in the report.
2. The DGE's comments are summarized in a memo and sent to the project manager. The PM then submits to the consultant for response. The consultant address the comments and resubmits. The report cannot be accepted until all comments are addressed.

PENNDOT – Engineering District 10-0 ISO 9001 Internal Audit Report

Overall Statement of Effectiveness of the Quality Management System

Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. The tracking sheet provides a system to track the status of the design submissions.
2. The review checklist provides a consistent review process for the submissions.

Areas to consider for improvement:

1. None

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

1. None

Observations and auditor comments:

1. The consultant submissions are being thoroughly reviewed and the remarks from the District Geotechnical Engineer are being addressed prior to approval.

Statement of overall effectiveness of the system:

- The process is effective in maintaining a standard process for consultant reviews

Distribution of Audit Report:

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

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

