

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

Department	Audit Process	Date & Time of Audit
Geotechnical Unit	7.5.1 GT5	3/29/18 11:00 AM

Auditor(s)	Audit Objectives:
1. Allen Gemmell 2. Craig Silvis	Review the GT5 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 – GT5 Review of Contractor Submissions

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

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

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Audit Criteria

External requirements (questions)

1. Has the location of the tracking sheets been included in the QMS Manual?
2. Has the new process been implemented since last audit?

External requirements (answers)

1. The location of the tracking sheets has been included in the QMS Manual.
2. The process was updated in March 2018 and the current version of the QMS Manual is being followed.

Internal requirements (questions)

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

Internal requirements (answers)

1. The contractor submits in PPCC electronically directly to the District Geotechnical Engineer. The DGE access the system for the approval process.
2. The submissions are marked up on the original submission of the contractors. Then they are either approved or submitted back to the contractor for revisions in PPCC. The contractor revises and resubmits to the DGE in PPCC for approval.

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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. PPCC is an effective system for submittal approval process while maintaining the status electronically.

Areas to consider for improvement:

1. Add the review checklist to the QMS Manual.

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

1. None

Observations and auditor comments:

1. The contractor 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 contractor 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)

