

**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>
Construction / Field	FO4 Field Operations – F & S	

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Seth Marshall 2. Mark Wasilko	Review a field project to ensure the process and procedures specified in process FO4 are being followed.

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Mark Kmetz	1. Civil Engineer Supervisor – IIC on various projects

<b>Item(s) or areas audited</b>
Erosion and Sedimentation control procedures on a construction project.

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

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. Does the department or contractor submit modification requests to the E & S control plan for approval?
2. How does the department follow up with the submission approval process.
3. Who all is involved with the approval of changes made to a current E & S plan prior to utilizing a new or different (changed) E & S device?

#### External requirements (answers)

1. The contractor is to submit changes to required entities.
2. Depending on the contract, the turnaround time is usually 14 to 21 Days. If nothing is received then follow up with the District Office Environmental Manager. They follow up with the proper approving authority.
3. Depending on the project, most common are: DEP, Conservation District, Environmental Manager, Army Corp. of Engineers.

#### Internal requirements (questions)

1. Where is the phasing sequence within typical project documents? Do all necessary project team members have access to this information?
2. How do you as a project manager ensure that this is being complied to?
3. Are most E & S submittals available to view within ECMS? Are paper copies still kept on file.
4. In review of the last audit for this process (4years ago) the auditee was not able to review E & S controls during constructability reviews. Has the constructability review process changed to include E & S Controls?
5. Within the process it states "If timely corrections are not made" referring to the contractor repair the Controls. Does "timely" refer to any specific time frame and how is "timely" measured?

#### Internal requirements (Answers)

1. The phasing is within the E & S plan, a copy is given to each inspector.
2. Daily review with the contractor, especially when involving a high quality watershed or a stream. Visual inspections are made daily.
3. All permits are available on ECMS. Submittals for changes are not available on ECMS, but a copy is available with project files.
4. Yes, E & S Plans are available. They are not always complete, depending on the Constructability percentage.
5. No specific time frame is specified. Sometimes a specific time frame is spelled out in Special provisions.

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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. Auditee was aware of the process and how it applies to the field.

### Areas to consider for improvement:

1. Better define “timely” for the correction of the E & S Controls. Timely could be interrupted differently by each Project Manager.
2. Include that the DEP – Visual Site Inspection form is required to be completed Weekly and after a Storm Event.

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

1. N/A

### Observations and auditor comments:

1. The auditee was well aware of the requirements within the process and how to utilize the process during an active project with E & S Controls.

### Statement of overall effectiveness of the system:

- There is a difficulty defining the role of the Conservation Offices. Within the district there are five different County Conservation offices. Each one of the counties may have different requirements.

### Distribution of Audit Report:

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

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

- Discuss what “Timely” means with Environmental unit and then discuss at next Management Review mtg
- Revise process to include completing DEP form as required