

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

Department	Audit Process	Date & Time of Audit
Penn Dot District 10-0 Construction Unit	7.5.1 SC2	2/19/15

Auditor(s)	Audit Objectives:
1. Dave Schaffer 2. John Copeland	Review Process and upgrade/update as needed.

Name of Auditee(s)	Auditee(s) job Function
1. Ron Schreckengost 2. Tom Knieriem	1. Assistant Geotechnical Engineer / Assistant Structural Control Engineer 2. Structural Control Engineer

Item(s) or areas audited
7.5.1 – SC2 Disposal of Bridge Paint Waste

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

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Audit Criteria

External requirements (questions)

1.

External requirements (answers)

1.

Internal requirements (questions)

1. HOW DOES THE DEPARTMENT APPROVE WASTE CONTAINERS?
2. HOW DO INSPECTORS ON PROJECTS KNOW IF THE CONTAINERS ARE DEPARTMENT APPROVED?
3. WHO CONTACTS THE HAULERS TO RECEIVE THE PROPER STICKERS FOR THE WASTE?
4. CAN ANY DEPARTMENT REPRESENTATIVE REVIEW AND SIGN THE WASTE MANIFEST?
5. WHO MAINTAINS THE WASTE MANIFEST TRACKING SHEET?
6. BY PROCESS THE SCE IS TO REVIEW AND COMPARE THE WASTE MANIFEST; INITIAL COPY WITH THE COMPLETED COPY FROM THE WASTE SITE, PROVIDE A SET FOR REVIEW.

Internal requirements (answers)

1. Waste handling plan identifies this requirement. Also determined by project special provision – it lists type of container and storage location.
2. Ensure container meets special provision and handling plan requirements.
3. Contractor is responsible for contacting the hauler to obtain the information for the stickers.
4. Department Representative must have Hazardous Awareness training in order to review and sign Waste Manifest.
5. Waste Manifest Tracking sheet is maintained in the project records during construction and a copy is provided to SCE or ASCE for final records.
6. Example provided.

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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. Process in general is set up for increased accountability and control of documentation.

Areas to consider for improvement:

1. Consider identifying specific individuals or specific detail to be included to the process.
 - a. Process states "Contact Waste Hauler to receive the proper stickers for the waste which has been accumulated."
 - i. Should this statement say "who" is responsible for contacting the hauler. Contractor in this case.
 - b. Include statement that would identify on Attachment #3 that a "Certified " Department representative is to review and sign waste manifest.

Note: Consider an owner review of entire process to update for the above like comments.

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

1. No nonconformities were identified during this audit.

Observations and auditor comments:

1. Consider increasing the number of Department Inspectors and Project IIC's to be "Certified". Also consider to extend/require "Certification" to Consultant Paint Inspectors who are typically staffed on types of projects that have occurrences with Waste Manifests.

Statement of overall effectiveness of the system:

- Process and documents that make up this process allow for a fluid function of this process other than comments made for areas to consider improvement.

Distribution of Audit Report:

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

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

