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Transition at Renewal Audit No: 9

ISO 9001:2008

CONFIDENTIAL
Report
For

ERIE COUNTY TECHNICAL SCHOOL
Erie, Pennsylvania

Date of Report:	October 26, 2010
Date(s) of Audit:	October 4-5, 2010
Number of total mandays scheduled for this audit:	2.5
Number of total mandays actually conducted:	2.5
Audit Team Members (Lead name first):	Steve Pettyjohn
Nonconformances (CAN numbers) issued this audit:	None
Nonconformances (CAN numbers) closed this audit:	None

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Quality Manager: Joseph A. Fabian   Date: October 26, 2010

Executive Summary

An audit was conducted at the location on the dates cited above. The purpose of this audit was to ensure that the auditee was continuing to maintain a documented and effective Quality Management System, to meet the organization’s objectives, in conformance with the Quality Management System requirements.

The audit followed SRI's guidelines and procedures. The scope of the audit was a review of the scheduled processes and any area(s) of nonconformance cited and/or remaining open from the previous audit. The renewal audit considered the performance of the Quality Management System over the period of certification and included a review of the previous surveillance audit reports.

Each of the Corrective Action Notifications (CANs), which remained open from the previous audit, was verified for effective implementation and closed by the Lead Assessor.

No nonconformities were cited during this audit event. The processes assessed are identified in the “Assessment Summary Matrix.”

Progress made toward meeting Continual Improvement targets is Satisfactory.

Audit results observed were better than the previous audit activity.

Marks and logos were found to be in compliance.

Based on the audit investigation, the registered organization was able to demonstrate the capability to implement and maintain an effective Quality Management System, to meet the organization’s objectives, in conformance with the Quality Management System requirements. Therefore, the audit team has recommended unconditional approval for continued registration.

The audit team would like to thank all personnel for their hospitality and cooperation during the audit.

Auditor Commentary

Based on the audit investigations, interviews, observations, and review of records, the following comments summarize the audit team's observations and findings:

Internal Audit Results:	The Internal Audit process was reviewed starting with a review of the current procedure and the Internal Audit schedule. The procedure was found to be well developed, to provide adequate guidance regarding the process, and to meet the requirements of the standard. The audit calendar provides a clear picture of the process approach used to conduct the audits. The schedule was also used to verify Auditor independence and that they did not audit their own work. There are eleven trained Internal Auditors (out of a total school staff of 65), which indicate a strong measure of Management support for the process. Training records for Internal Auditors are available and indicate that Auditors are trained to meet the requirements of the standard and the procedure. All eleven trained Internal Auditors were retrained for the 2008 version of the standard. Audit reports are prepared using word processing software and are customized reports that follow a standard outline that includes information regarding the process audited, date of audit, report date, Auditors, audit overview, positive aspects of the audit, recommendations for improvement, and corrective actions (audit reports clearly indicated that they were conducted using the 2008 version of the standard). Audit files include extensive working papers that provide more than adequate evidence to support the findings and conclusion of the audit. The corrective actions can be traced to the corrective action files for details regarding the particular corrective action. Planning for Internal Audits is very well done. There is a template that provides guidance and can be customized by the Management Representative (Internal Audit Planning Guide). The planning template calls the Auditor's attention to key process issues including how goals are developed and tracked, how they are audited, tools used to measure performance, documents and forms to examine, and auditees to interview. This is a very well implemented process that provides meaningful feedback on school performance.

Management Review Results:	Management Review is a very thorough and comprehensive process. The school holds a three day planning retreat during the summer. A comprehensive briefing book (over 200 pages) is prepared, which provides information and considerable data analysis regarding goals and objectives including all of the inputs required by the standard and the state. Attendance is very broad, and five members of the union, including the president, invited to attend are active participants in the process. The Strategic Planning process starts with a risk assessment. This process identified seven risks to the school. Planning was oriented to deal with these risks by taking action to eliminate, alleviate, or mitigate the risks. The resulting action plans have been developed with staff assigned to various roles. Weekly staff meetings monitor progress and provide direction for corrective action. Three themes for action plans are in place this year, which include personalized staff development, the STAY team (staff teams assisting youth), and strengthen public relations. There are a total of 14 high level goals that are measured with monitored results subjected to several variations of data analysis. All curriculum programs are monitored to determine if they achieve school, state, and national objectives. Management, staff, and instructors work together to respond to results that do not meet objectives. Objectives have a standard titled “Measurable/Observable Product.” This process is one of the strengths of the Quality Management System.
Corrective/Preventive Actions:	The Corrective Action process was reviewed and found to be effectively implemented. The audit included review of corrective Actions initiated by internal audits. These are generally complex and long-term issues. Of five reviewed, one was completed and verified. The other four are in process. Adequate evidence was presented to indicate a good degree of progress and that Management was competently monitoring progress. The Corrective Action process follows the PDCA cycle, and provisions are made for root cause analysis, short term action to correct immediate issues, and long-term plans to eliminate the root cause(s). Corrective Actions can result from many sources including student complaints. The Auditor reviewed a Corrective Action regarding the school Grading System process, which was a result of a student complaint. There was evidence of excellent root cause analysis followed by planning and action on a school wide basis.

Customer Complaints:	Complaints were reviewed, and proper investigation and resolution were observed.
Quality System Changes:	System changes created to meet the requirements of the ISO 9001:2008 standard were reviewed and found to meet the requirements of the standard. Changes were reviewed by Management and verified by internal audit. Changes were effectively implemented.
Auditor Comments (Important Observations, Strengths, Exclusions):	The audit achieved its objective, as more than adequate evidence was presented to support effective implementation of the Quality Management System to meet the requirements of the ISO 9001:2008 standard. During the audit, the Lead Auditor confirmed that the auditee had secured a copy of the standard, sent the Management Representative to attend training in the new standard, studied the standard, reviewed the changes with Management, revised appropriate Quality Management System documents, reviewed the changes at Management Review, implemented the changes, and performed internal audits to confirm implementation of the changes.
Confirmed Exclusions:	7.5 (Service Provisions) 7.5.2 Validation of Processes for Production and Service Provision
Validation of CANs issued during previous activity:	No CANs were issued at the previous audit event.
Remote Support Functions Received from other locations:	The Auditor confirmed that there is no support received from another location.
Remote Support Functions Provided to other locations:	The Auditor confirmed that there is no support provided to another location.
Shifts Assessed:	Number of Shifts: 1 Start/End Time: 8:00 am to 4:00 pm

Notable changes (e.g., address, management rep., shifts, scope, processes, employee count, etc.):	Erie County Technical School has transitioned to the ISO 9001:2008 standard.

Auditee Information

Auditee: **Erie County Technical School** **Auditee No:** 5058-01

Address: 8500 Oliver Road
Erie, PA 16509-4699
Main Phone Number: 814-464-8600

Auditee Contacts

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Audit Event

Transition at Renewal: 10/4/2010 - 10/5/2010 Total Mandays: 2.5
Steve Pettyjohn, Lead Auditor

SRI Customer Care Coordinator: Carole Walsh, ext. 642

Audit Scope

Standard: ISO 9001:2008

Exclusions: 7.5 (Service Provisions), 7.5.2 Validation of Processes for Production and Service Provision

Scope: Career and technical education.

SIC Codes: 8211 **IAF:** 37 **NACE Codes:** M80.2

No. of Employees: 65 **Products:** Education

Accreditation Mark(s): ANAB **Registration Approach:** Site

Certificate Expiration: 10/13/2011

No Shifts: 1

Times of Shifts: 8:00 am to 4:00 pm

Audit Plan

The audit plan, audit team members, and qualifications, representatives, working documents, audit plan schedule, audit matrix, and auditor assignments have been reviewed with the organizations and are on file with SRI.

Audit Records

Form R20.36 or R20.36S: Which shows the registrar confirmation of the audit results was completed, signed by both parties on-site, returned to SRI, and is on file.

Assessment Narrative: The pre-audit/post audit conference list of attendees and standard agenda are on file, as is the agenda. The registered company has acknowledged and signed any corrective action notifications issued at this event.

The SRI Auditor Notes: Auditor notes were captured and returned to SRI, along with the "Interview Listing" (I8-3), all of which are on file.

Assessment Summary Matrix: The assessment summary matrix was completed by the lead assessor and indicates the areas in which the selected processes were assessed and the areas requiring corrective action. If there are several distinct audit tracks or business units, each has a matrix completed for it. The matrix is provided.

Corrective Actions: If any, are included with this report and summarized in numerical order, showing the referenced ISO 9000 section, process, a description of the nonconformity, and the level of severity indicated as "M = Minor" or "H = Hold." Form R20.35 provides the detailed nature of the nonconformance.

Opportunities for Improvement: If the lead auditor noted opportunities for improvement (OFIs), these were provided to the auditee during the post-audit meeting. The opportunities for improvement are listed.

Report Distribution

Distribution by SRI is only to the auditee, the auditor assigned for the next scheduled audit event, SRI, and any accreditation body, when requested, where their oversight is required.

Assessment Summary

Processes Assessed	Performance			
	Satisfactory	Org. Action Plan in Place	Not Identified	Unsatisfactory
Administrative	X			
Curriculum	X			
Resource Management	X			
Student Services	X			

Process Summary

Process	Comments
Administrative	This process provides the leadership and general management activities for the school including the management of the Quality Management System, corrective actions, and continual improvement. School leadership is totally committed to the improvement of the Quality Management System and has effectively deployed the requirements of the standard as very effective management tools for the improvement of school programs. Data analysis is a key activity that is extensively used in the improvement process. Leadership is very committed to being open with information that is available to all stakeholders. Management Review minutes along with data regarding key performance indicators are published on the school's website. Planning is rigorous and disciplined. The Director starts the process with a Risk Assessment process that the Auditor found to be thoughtful and very appropriate. This drives the rest of the Strategic Planning process, which was discussed in the section on Management Review. The resulting action plans were developed using a variety of quality improvement and consensus building tools that the Auditor found to be appropriate and effective. The use of story boarding and nominal group technique is often taught but rarely put into practice by organizations. Erie County Technical School has used these tools and others in a very effective manner. The Auditor investigated the current implementation status of the three action plans. They appear to be moving forward, but the audit plan for next year will review their progress and impact on school performance. Feedback from stakeholders and internal and external communication are stressed. Ample evidence of this was presented to the Auditor on a number of occasions, as school policy or procedures have been changed as a result of parent, student, community or business stakeholders, or staff input. While not perfect, this is a very effectively implemented process that more than meets the requirements of the standard and is providing effective guidance for the school. The use of data analysis and teams at Erie County Technical School should be considered best practices worthy of emulation by other educational organizations.

Process	Comments
Curriculum	Curriculum Design, Development, and Delivery: Eight programs that are part of the Curriculum program were reviewed during the audit. These activities were all found to be effectively implemented in accordance with school policies and procedures, which included Metal Fabrication, Electrical Engineering, Health Assistant, Early Childhood, Graphics, Hotel and Hospitality, Construction, and Networking. In addition to standard audit issues of document and record control, along with process implementation, attention was given to school projects designed to respond to state mandates regarding integration of more academic focus to achieve state testing goals. Erie County Technical School has developed academic programs to enhance reading, writing, and math skills in students. These are team efforts with primary instructors and support personnel, including student services working together to improve student performance. The Auditor reviewed these efforts and observed a meeting of the reading team. This cross-functional effort is a model for other schools.

Process	Comments
Resource Management	Resource Management includes Human Resources, Maintenance and Facilities Management, Information Technology, and Purchasing. All five of these activities were reviewed during the audit and found to be effectively implemented. As an educational facility, training, training records, maintenance, improvement of competencies, and the other associated responsibilities of the Human Resource area are very critical. The review of records found that they are effectively maintained in accordance with procedures that meet the requirements of the standard, as well as state requirements. Job descriptions are very well done and are posted on the school website. They have been used by other schools as a model. The Maintenance and Facilities Management staff does an excellent job of maintaining a 42 year old building with infrastructure that was designed in the middle of the last century and has been used by tens of thousands of students. Planning, scheduling, and records are well done. An inspection of the building and grounds, including the boiler room and other support areas, found them to be in very well maintained. The facility is completing a major project to modernize the lighting system with energy saving and more environmental friendly equipment that will save the school an estimated $25,000 a year. Information Technology is implemented by a talented professional with a great deal of support from Administrative leadership. The school relies on the network and other support for implementation of all critical functions. This is a well thought out process with good planning and implementation of appropriate and effective levels of support. The Purchasing process is somewhat decentralized as program instructors make many purchasing decisions within established procedures. The Business Manager provides effective guidance and support as needed. Records are available that provide evidence that supplier evaluation and corrective action is effectively implemented. The school provided evidence of changes made in some providers of outsourced processes, as a result of the Supplier Evaluation process. The Purchasing Information process also is effective and meets the requirements of the standard, while effective verification processes are appropriately deployed.

Process	Comments
Student Services	Student Services consists of admissions and recruitment, guidance, and placement including the co-op program. All of these activities were reviewed and found to be effectively implemented. The personnel of this area are actively involved in leading the Action Plan Teams formed during the administrative retreat. They also support curriculum development through the DACUM process, which is a plan, do, check, act approach to a disciplined Curriculum Improvement process. The professionals on this staff provide an important service to students and staff in the effective integration of students and improvement of the school curriculum and services.

Corrective Actions List

No nonconformities were identified during this audit event activity.

Opportunities for Improvement

No Opportunities for Improvement were identified during this audit event activity.