**SRI Quality System Registrar**
Suite 304 • 300 Northpointe Circle • Seven Fields, PA • 16046
Telephone: 724-934-9000 • Fax: 724-935-6825 • E-mail: mail@sriregistrar.com

# *Surveillance Audit No: 11*

## *ISO 9001:2008*

**C O N F I D E N T I A L**
Report
For

# ERIE COUNTY TECHNICAL SCHOOL
## Erie, Pennsylvania

| | |
|---|---|
| Date of Report: | November 27, 2012 |
| Date(s) of Audit: | November 5-6, 2012 |
| Number of total mandays scheduled for this audit: | 1.5 |
| Number of total mandays actually conducted: | 1.5 |
| Audit Team Members (Lead name first): | Steve Pettyjohn |
| Nonconformances (CAN numbers) issued this audit: | None |
| Nonconformances (CAN numbers) closed this audit: | None |

TABLE OF CONTENTS



Director, Certification: Joseph A. Fabian Date: November 27, 2012

## Executive Summary

An audit was conducted at the location on the date 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.

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 evidence collected during an audit will inevitably be only a sample of the information available, partly due to the fact that the audit is conducted during a limited period of time and with limited resources. Therefore, there is an element of uncertainty inherent in all audits, and all users of the results of the audit should be aware of this uncertainty.

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: | There is an annual training session for Internal Auditors. The school uses the process approach coupled with team auditing. There are four teams of three Internal Auditors. Preparation time is given to the teams. In addition, the Audit Manager provides templates and other aids to assist in audit planning and implementation. Auditor independence is maintained by using the team approach. A review of records found that the Internal Audit process was audited by staff independent of the program. Internal Audit reports are clear and well written. Reports and working papers are maintained for the duration of each registration period. The audit plan covers all main processes and ensures that they are audited in accordance with their importance to the school and its objectives. |
| Management Review Results: | Management Review is a two step process with a strategic review of the system held during the summer or in early September. There are weekly management meetings to handle issues on a timely basis. Both sets of meetings are well documented in an appropriate manner and provide evidence that they are effectively implemented in a manner that meets the requirements of the standard.<br><br>The school is intensely data driven and makes considerable use of data analysis to make decisions. NOCTI scores are analyzed on an annual basis, and action is taken as appropriate. Student and parent surveys are conducted and analyzed with resulting Corrective Action. The school survey results continue to improve every year, with the exception of "furniture" category, which does not seem to fit teenage expectations. |

| | |
|---|---|
| Corrective/Preventive Actions: | Corrective Actions and Complaints were reviewed. Complaints can be generated by a number of sources, including students, parents, faculty, and staff. Complaints are reviewed by Management and based on the type of complaint and trends that have developed will be assigned a specified Corrective Action.<br><br>The Auditor reviewed CI 335, which resulted from an industry group audit of the culinary area and the walk-in cooler. The Auditor found that the nonconformance was investigated by a joint team that included Management and was resolved in an appropriate manner.<br><br>CIR 328 resulted from an Internal Audit regarding the management of the cafeteria during lunch hour. The situation was investigated by a Management Team, and a resolution was developed to ensure adequate management of the cash register in the cafeteria.<br><br>Preventive Action (PA) 338 was reviewed. It involved improving security at the skill center by installing a camera security system that could be monitored at the high school office. These actions appear to be appropriate and effective. |
| Customer Complaints: | The school has a number of feedback mechanisms in place to deal with Complaints and concerns from students, parents, faculty, staff, and other interested parties. A sample was reviewed to determine the effectiveness of the process to address them. |
| Quality System Changes: | No major changes were noted. |

| | |
|---|---|
| Auditor Comments (Important Observations, Strengths, Exclusions): | The audit found that the Erie County Technical School (ECTS) continues to implement and improve its Quality Management System in a very effective manner that meets the requirements of the ISO 9001:2008 Quality Management System requirements. During the audit, the Auditor learned that ECTS has been named one of the top five schools of its type by the Pennsylvania CTE Best Practices Initiative for its work in improving program quality and student results. This was due to the school's very effective use of its Quality Management System, which includes an intense commitment to data analysis and continual improvement, along with very effective use of the other tools presented by developing a Quality Management System. Internal Audits and Corrective Actions continue to be well done as is the Management Review process. Curriculum improvement using the DACUM process continues to be a strong point of the school. Interviews with instructors and students supported evidence found in record review regarding school performance and improvement activities including student achievement. School leadership has set demanding goals for improving student performance, which have resulted in very dramatic gains. Over the last five years, student performance on PSSA exams has increased from 17% at the "advanced level" to 47% last year. The Student Services process has continued its long-range efforts to establish more effective relationships with the sending schools to improve more effective student placement in programs where they will succeed. The school continues to have very effective support in the Resource Management area. The audit plan was modified to include the Curriculum process, as this is the school's core process. The audit went smoothly with the help and cooperation of everyone at ECTS, and the Auditor wishes to thank them for their hospitality during the audit. |
| Confirmed Exclusions: | 7.5 (Service Provisions)<br>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. |
| Review of Outsourced Processes: | There are no outsourced processes. |

| | |
|---|---|
| Shifts Assessed: | Number of Shifts: 1<br><br>Start/End Time: 8:00 am to 4:00 pm |
| Notable changes<br>(e.g., address, management rep., shifts, scope, processes, employee count, etc.): | There is a new Business Manager. |

## R20.62 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**

Ms. Natalie Fatica, Coordinator of Human and Quality Resources
Erie County Technical School
8500 Oliver Road, Erie, PA 16509-4699
**Tel:** 814-464-8663 **Fax:** 814-464-8625
**Email:** nfatica@ects.org

Dr. Aldo Jackson, Director
Erie County Technical School
8500 Oliver Road, Erie, PA 16509-4699
**Tel:** 814-464-8661 **Fax:** 814-464-8625
**Email:** ajackson@ects.org

**Audit Event**

Surveillance: 11/05/2012 - 11/06/2012 Total Mandays: 1.5
Steve Pettyjohn, Lead Auditor

**SRI Customer Care Coordinator:** Carole Walsh
**Coordinator Phone:** 724-934-9000 ext. 642
**Coordinator Email:** CWalsh@SRIRegistrar.com

**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:** 11/13/2013
**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 | The Administrative process provides leadership and guidance for the school. Leadership has demonstrated a strong commitment to the implementation and improvement of the Quality Management System. The school is data driven and has created several feedback mechanisms to monitor the effectiveness of all school programs, including the central curriculum process. School leadership has recognized the usefulness of several tools available from the ISO 9001:2008 based Quality Management System. Internal Audits are very well done, and the school does a fine job of managing the Corrective/Preventive Action process. Ensuring that audits are conducted on time is a documented goal (100% achieved this year), along with the timely response to improvement requests (an improvement of 17% was noted this year). |
| Curriculum | The Curriculum process is evaluated based on student performance on nationally and/or state validated exams (i.e., NOCTI, etc.). The school's goal is to have 80% or more of students in a particular program meet program goals and to be above the "national norm." This is more strict and aggressive than state requirements, and sometimes the national exam process which may award a "silver" level recognition award which may involve a much lower level of performance. Out of 18 programs, five were not at goal, and the Curriculum Supervisor has developed a NOCTI Corrective Action plan based on the DACUM approach for each program. Two programs were not at goal but had showed acceptable continual improvement. Eleven programs were meeting established goals, and these programs were generally well above the objectives. Three programs were visited and reviewed during the audit, which included Auto Body, Networking, Art and Design. Inspection and observations were made in the Curriculum class rooms and technical areas, interviews were conducted with instructors and students, and records were reviewed, including Occupational Advisory Committee meeting minutes and student grades and scores on NOCTI exams. |

| Process | Comments |
| --- | --- |
| Resource Management | The Resource Management process includes Human Resources, Maintenance, and IT support. These are discussed in subsections of this report. The Auditor spent considerable time in the IT Support area as this is an important area, where there have been many developments over the past year. It should be noted that all three areas do an excellent job of providing support to the school.<br><br>The Human Resource Manager is also the Management Representative for the Quality Management System. Human Resource support was reviewed and found to be effectively implemented. Policies and Procedures are in place that meets state and national legal requirements. Effective support is provided to faculty and staff for Human Resource questions. Records were reviewed and found to be effectively managed in a manner that meets the requirements of the standard.<br><br>The Maintenance area was reviewed and found to be effectively implemented. The school presents a very fine appearance; it is clean, neat, and obviously well maintained. The Maintenance Manager makes effective use of electronic tools to manage the process. The scheduling of Preventive Maintenance activity is done using the outlook software, and an excel data base has been created to track equipment and material. Long-range projections estimate when items should be replaced. The school was constructed in 1968 and still uses original pumps, boilers, and pipes. As the current Maintenance Manager is retiring and the basic infrastructure of the building is nearing its end stage, this is an area that will require management attention in the future.<br><br>IT support is a very structured and well planned process. As follow up to the network curriculum, the ISTM Manager presented the policy and work instruction developed to help manage the "Bring Your Own Device" process for class. This allows students to use their own smart phone or similar device to work on lessons. There is an established user account policy that is administered in cooperation with the Human Resource Department. There are separate control processes for students and staff. |

| Process | Comments |
| --- | --- |
| Resource Management (Continued) | Disaster Recovery, including backup policy and procedures, was reviewed. The school conducts daily incremental, weekly full, and monthly tape backups. In addition, hourly shadow for end user recovery is conducted if needed. A procedure and work instruction is in place.<br><br>The Auditor reviewed the dDesx system, which was developed by the IT support area. It is a web extension of the SchoolDesx system, which is an access based database. It is no longer being supported as the development company. The eDesx system is web based and allows the staff to interface more effectively. A Continual Improvement was done this year to create an interface from eDesx to each student's IEP on the school network. This is a significant productivity improvement. The eDesx project has saved the school $30,000 a year by extending the life of the defunct SchoolDesx product.<br><br>IT Support also developed a portal in the system to meet the requirements of new state law, as the tech school is now responsible for reporting for the students to the State Department of Education. Home Schools submit student data and information to Erie CTS. This allows them to submit, review, validate, and check student information. The Auditor General of Pennsylvania conducted a study to review how schools were doing. This project resulted from that audit. This is giving ECTS more control over what they are responsible for.<br><br>IT support also developed a new student portal, which will allow students access to their information. The portal also gives them access to classroom digital blackboards, web info, upload files from home, connect printers to personal devices, and program discussion boards. IT also created a parent portal to give parents access to grades and attendance information. Support can be provided by the teacher if they have trouble logging in. Erie CTS is currently the only system with multiple portal entry in the district. The school uses SHAREPOINT software for the blackboard and internal newsletter.<br>The school Policy for passwords is to change at a three month frequency. The password is to be eight |

| Process | Comments |
| --- | --- |
| Resource Management (Continued) | characters with alpha numeric combination and special character with capital on one (three of four of these are required). This is a best practice for password management. As the Auditor General of Pennsylvania is developing an IT security audit requirement for schools, Erie CTS should be well positioned to meet these requirements. |
| Student Services | The Student Services process was reviewed by interviews and record review and found to be effectively implemented. The school devotes considerable focused effort to recruiting students who will succeed in their programs. This is a lengthy process that involves working with the students' home schools and building relationships with their faculty and guidance personnel. The overall success of the students, as found in curriculum results, is reflected in these efforts. In addition, specific goals are set for this area regarding attendance rates and retention rates. The attendance goal is set at 95%, and the school results show student attendance averaging 92 to 94% for the last four years. The school is studying this process and trying to develop strategies to ensure better student attendance. The retention rate goal is 92%, and last year, the results were 97%, and in fact this goal has been achieved for the last six years. Student Satisfaction Surveys show a consistent rating of 3.1 or better with a goal of 2.7 on a 4.0 scale. |

# 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.