SRI Quality System Registrar

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Surveillance Audit No: 13

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 18, 2014
Date(s) of Audit:	October 27-28, 2014
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

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Director, Certification: Joseph A. Fabian Date: November 18, 2014

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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 conformance.

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:	The Internal Audit process was reviewed and found to not only be effectively implemented in a manner that meets the requirements of the standard, it also provided considerable evidence of strength. Internal Audit planning is very well done. Scheduling is done in a manner to ensure auditor independence, and the timing of audits is well coordinated with the school calendar. The Internal Audit plan included not only an independent audit of the Internal Audit process but the external audit program as well. Planning of specific audits is comprehensive, as good use is made of the Internal Audit Planning Guide. The school has created a very fine report template for use, and the files contain copies of reports that are well written and clear regarding the results of the audit. Audit files contain considerable amounts of notes and records providing excellent evidence regarding the audit trail and reported findings.
Management Review Results:	The Management Review process is effectively implemented in a manner that meets the requirements of the standard and provides the school's system with the vital link between reviewing results and planning for effective future action. The backbone of this process is a one and a half day summer retreat that is conducted in accordance with a well organized and comprehensive plan. Notes are created that provide more than adequate evidence of the meeting results and action items using a matrix approach template. This summer, the subject of "Risk Analysis Issues" was added to the agenda. This is a very well done process and presents evidence of strength regarding the implementation of the Quality Management System.
Corrective/Preventive Actions:	Corrective and Preventive Actions, along with Continual Improvement opportunities and complaints, are managed through the use of a single log and database. The log was reviewed, and a sample of issues were examined in detail, which provided evidence that the process is well implemented and meets the requirements of the standard.

Customer Complaints:	Complaints are recorded and processed through the combined Corrective/Preventive Action and Continual Improvement process. Several complaints/suggestions were reviewed and found the school responds to be appropriate in a manner that meets the requirements of the standard.
Quality System Changes:	QMS is stable. The new Infinite Campus electronic data base system continues to be implemented.
Auditor Comments (Important Observations, Strengths, Exclusions):	The audit succeeded in confirming that Erie County Technical School continues to implement and improve its Quality Management System in a manner that meets the requirements of the ISO 9001:2008 standard. The school provided abundant evidence that it has continued to improve its system. Considerable evidence was found of strengths, including the use of Management Review and Internal Audits. The school is extremely data driven and makes good use of data to make decisions. The school has received considerable state recognition over the years being named one of the top five technical schools for Best Practices and being cited over ten times in a recent state workbook on leadership and best practices. The school should be considered an asset to Erie County, its business community, students, and their parents. The Auditor received excellent help and cooperation and wishes to thank everyone at Erie County Technical School for their assistance during the audit.
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.
Review of Outsourced Processes:	Maintenance is the only Outsourced processes and is effectively managed in accordance with the requirements of the standard.
Shifts Assessed:	Number of Shifts: 1 Start/End Time: 8:00am-4:00pm

Notable changes (e.g., address, management rep., shifts, scope, processes, employee count, etc.):	The school is continuing the implementation of the new school database program Infinite Campus in an effective manner.

R20.62 Auditee Information

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

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Auditee Contacts

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Audit Event

Surveillance: 10/27/2014 - 10/28/2014 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: 11/12/2016

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: 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 cited standard 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

<table>
<tr><th>Process</th><th>Comments</th></tr>
<tr><td>Administrative</td><td>The Administrative process was reviewed and found to be very effectively implemented. The Management Review process is performed and recorded in an excellent manner and provides the foundation for Administrative activity. This school is very data driven, and it shows in the records and the results. The school has a three page review of Key Indicators of Performance Success available for review. There were 25 total action items for this year, including improving student objectives and assessments, along with improving the faculty assessment process. The school has developed a faculty evaluation process that meets the requirements of the state department of education but also includes a very unique tool that they have developed. This is the teacher-specific curriculum audit, which presents the possibility of being a very strong tool as curriculum is defined as the primary product of the Quality Management System.

Measures: Administrative effectiveness measures include customer, parent, and student satisfaction levels as reported on surveys. The Auditor reviewed them and found them to be high. Administrative also implemented the Quality Management System and monitors and develops data for four general areas of performance which includes the following:
Improving grade level operations and increasing the number of third party certifications
Conducting Internal Audits in accordance with the schedule which was achieved
High performance on external audits
Prompt processing of Continual Improvement ideas
All goals are being satisfied.</td></tr>
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Process	Comments
Curriculum	The Curriculum process consists of three major components, which include Curriculum Design, Curriculum Review, and Curriculum Delivery. This year's audit efforts focused on two programs, which were Culinary and Hospitality Management. The Culinary program was reviewed in some depth as the lead instructor was in her second year at the school. The area were reviewed using the process approach. The staff and a student were interviewed, documents and records were reviewed, activity was observed, and the appropriate facilities were inspected. The Auditor found the program to be well implemented and that evidence of improvement was provided. The Hospitality Program also provided evidence of effective implementation and improvement. The instructor continues to provide several coop type activity for advanced students, as well as increasing the number of third party certifications available through the program. Third party certifications and testing are considered a value added activity that considerably increases the ability of students to find future positions in their chosen careers. Curriculum Design and Review are facilitated by the DACUM program, which is supported by the schools certified DACUM facilitator. Her goal is to ensure that curriculum is aligned with contemporary industry expectations. DACUM is a disciplined approach to developing and improving the Curriculum and relies on third party panels of industry experts to validate the Curriculum. This is a very effective and unique program, as few schools in Pennsylvania are able to use the DACUM process. Measures: The school has developed a very comprehensive approach with key indicators for all three phases of the Curriculum process. Curriculum Design effectiveness is determined by student success in passing National occupational tests. The school's goal is to ensure that 80% of students perform at or above the national norms on these exams. When these objectives are not achieved, Corrective Action is initiated. Curriculum review is evaluated on review of the Craft Advisory Committee

Process	Comments
Curriculum (Continued)	review of the Curriculum at the end of each school year. Curriculum delivery is evaluated on a number of criteria including satisfaction survey results. Curriculum Review and Delivery objectives are being met or exceeded.
Resource Management	This year's audit plan emphasized a review of the Resource Management process and that is where the auditor spend most of the time available. Resource Management is a very well implemented process at the school. Resource Management includes Fiscal Services, Technology Services, Facilities Support Services, Food Services, and Human Resources. Fiscal Services is under the leadership of a new Business Manager, who presented more than adequate evidence to indicate that these activities are effectively implemented. Supplier performance is monitored, and Corrective Action is taken when problems are noted. The Facilities continue to provide excellent support for the school. A new work order system has been developed that allows a prompt response to requests for help in this area. Facilities provides a comprehensive report to the Board ten times per year. In addition, the Facilities Manager provides leadership for the Safety Committee and ensures that appropriate safety drills are conducted. The Technology area has historically provided excellent and proactive support for the school. This has continued with the implementation of a major project to install the Infinite Campus database. This project was reviewed in depth, and it was found to be very well managed. The impact of the new software on the Culinary and Hospitality Management programs was examined as part of this review. In addition, the IT area has developed a true Help Desk process, and with the addition of another staff person, can implement it effectively. The HR Department provided evidence of effective support and Continual Improvement initiatives. Food Services implemented a new breakfast program as a result of student suggestions. These areas are very well implemented by talented and experienced professionals.

Process	Comments
Resource Management (Continued)	Measures: • Fiscal support has two main metrics regarding the budget process and outside audits and is meeting both of them. • Technology Services has a goal of responding to 90% of requests in less than seven days and is currently at 91%. • Facilities Support Services has reduced the average time to address a maintenance request to 2.72 days. Food Services is meeting cleanliness goals but is not achieving a grade of B or better on 90% of student surveys. • Human Resources is achieving goals regarding staff development metrics.

Process	Comments
Student Services	Student Services is divided into two major activities, which include Guidance Services and Placement Services. The auditor examined both and developed audit evidence based on interviews along with review of documents and records. The Process is very well implemented. The school has established very aggressive goals for these activities and provided considerable resources to assure that these goals are achieved. The areas are staffed by educational professionals, and they have developed detailed and effective plans to achieve their objectives. This area presented several examples of evidence of strength, including implementing a new state program in an effective manner two years ahead of the state schedule. The Coop program is also aggressively implemented but is dealing with changes in demographics, student driving habits, and other challenges; however, it is close to meeting aggressive goals. Measures: Guidance has several goals and is achieving them or making progress in achieving them as follows: • Attendance rate goal is 95% and is currently at 93%. • Retention rates goal is 92% and they are at 93%. • Enrollment share goal of increase over last year is being achieved. • Customer Satisfaction levels of 3.2 meet the goal of 3.0. Placement services has three categories of goals which include the following: • Coop participation of 30% of seniors and they are currently at 29%. • Transition rates from high school to the next career goal of 90%, but data is not available for last year. • Customer satisfaction of 3.0 and results of 3.2.

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.