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Surveillance Audit No: 14

ISO 9001:2008

CONFIDENTIAL
Report
For

ERIE COUNTY TECHNICAL SCHOOL
Erie, Pennsylvania

Date of Report:	October 26, 2015
Date(s) of Audit:	October 5-6, 2015
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: October 26, 2015

Ownership of the audit report is maintained by SRI.
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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.

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 be an area of strength within the Erie County Technical School (ECTS) Quality Management System. This is a very mature, well organized, and very well supported process. The school has several well trained and experienced Internal Auditors who work in audit teams to implement the Internal Audit schedule. The Internal Audit schedule is well designed and addresses all processes of the QMS, with carefully planned audits of sub-processes, especially of the all important curriculum processes. All areas are audited on a three-year cycle, with a sampling of all process activities audited every year. There are several well designed templates to provide guidance and assistance in implementing the procedure, including an Internal Audit Planning Guide. Audit reports are very well done, with a section on the Audit Overview providing a description of the audit trail and the overall progress of the audit, along with sections on Positive Aspects and Comments and a section to describe Corrective Action. Each audit contains records and notes in well organized files. Internal Audit results are presented to Management at Management Review using the Internal Audit Review Log template that is an extremely clever and concise presentation of audit results in a matrix format, with fields containing information identifying the process audited, the area audited, improvements opportunities identified, required Corrective Action, strengths of the process, and other actions identified that are required. This is a extremely well designed and implemented process, providing valuable information feedback for Management.
Management Review Results:	Management Review is a key part of the Administrative process. Management is very diligent in ensuring that this is a very value added process, with considerable resources and effort given to using this as a key review process to validate process effectiveness and take either Corrective Action or action to improve school effectiveness. Records are comprehensive and provide more than adequate evidence of process effectiveness.
Corrective/Preventive Actions:	Corrective and Preventive Actions were reviewed and found to be effective and timely, with good documentation to support results.

Customer Complaints:	Complaints are logged and tracked through various mechanisms, with good documentation regarding follow up actions.
Quality System Changes:	No changes were noted.
Auditor Comments (Important Observations, Strengths, Exclusions):	ECTS continues to do an excellent job of implementing and improving its Quality Management System in a way that satisfies the ISO 9001:2008 standard and its many stakeholders who represent customer interests. There is very strong and sustained Management support and leadership for this well designed, documented, and implemented Quality Management System that has been adapted to meet the needs of this educational institution. There are several strong components of the system that merit positive mention, including the Management Review activities, which represent an excellent example of how this requirement can be adopted and used to considerable effectiveness and advantage. The Internal Audit process is an example of any organization of how to develop, implement, and use this process for Continual Improvement. Resource support activities continue to be well organized and implemented. The Curriculum process is one of the best designed and implemented that this Auditor has seen with the DACUM process integrated with the traditional OAC (Occupational Advisory Committees) activities providing excellent feedback for the design and improvement of Curriculum programs. The Auditor wishes to thank everyone at ECTS for their help and cooperation 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:	IT Services and some minor maintenance activities were reviewed as a part of those areas and found to be effectively managed.

Regulatory / Statutory requirements identified or added since the last event:	Identified statutory or regulatory requirements (i.e., those recorded on the R20.62) were reviewed and no issues were identified. School Code of Pennsylvania - 1949; Chapters 4 and 339
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.):	No changes were observed.

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

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Audit Event

Surveillance: 10/05/2015 - 10/06/2015 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: 63
Products: Education
Regulatory/Statutory Requirements: School Code of Pennsylvania - 1949; Chapters 4 and 339
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

Process	Comments
Administrative	The Administrative process addresses the overall direction of the Quality Management System, including those elements devoted to Top Management and Leadership, support of the overall system, along with monitoring and measurement and Continual Improvement activities. This is the responsibility of the Director of the school, and he has developed a Quality Management System that more than meets the requirements of the standard and provides an excellent framework for the school to obtain its objectives. The State of Pennsylvania has introduced a required evaluation portfolio process to evaluate leadership performance, this was reviewed as part of the audit. An interview with the Director revealed that an excellent Quality Management System in place allowed this evaluation to be completed in an effective and efficient manner. Leadership is one of the strong points of the school's Quality Management System. Completion of the state evaluation portfolio was reviewed, as it had the information to evaluate the effectiveness of this process. Section 1 dealt with Strategic/Cultural Leadership, including using data for informed decision making. Using data has been a strength of this school, as it has developed a two page key indicators of performance report that is reviewed with decisions and actions taken to correct or improve performance areas. Section 2 addresses building a collaborative and empowering work place, while other sections are on system leadership, leadership for learning, professional and community leadership, and developing a high quality staff and curriculum. All of these areas were more than adequately documented by the use of the school's Quality Management System reporting mechanisms to provide evidence that they are very effectively addressed.
Curriculum	The Curriculum process is a key process for the school and involves curriculum development and delivery. The Curriculum Development process was reviewed with the Director of Curriculum Development, who presented a detailed review of

Process	Comments
Curriculum (Continued)	the process, including significant documents and records. ECTS is the only school in Pennsylvania that uses the DACUM (Developing A Curriculum) structured approach for curriculum development and improvement, and the Director is a certified DACUM facilitator. The school has a documented Curriculum Development process that follows the DACUM approach and uses the PDCA cycle. The school goes through a rigorous process in Curriculum development to ensure that it meets state requirements, the appropriate national industry requirements, local business requirements, and needs of students. The DACUM approach involves having industry representatives and other interested parties attend a structured workshop to examine Curriculum requirements. The process is very well documented and is part of an overall process that includes input from the Occupational Advisory Committees established for each program. ECTS collects and conducts considerable data analysis regarding test results in all programs. The results of data analysis are used in preparing the annual calendar for preparation for NOCTI and other state mandated testing. Students take a pre-test in the fall and then their mandated exams in the spring. In addition, the school conducts a Curriculum Audit process using a structured approach, with an established template to ensure comprehensive consistency in the review of eight categories that factor into the Curriculum process. Curriculum delivery was also reviewed with a sample of six Curriculum programs sampled:, which included Cosmetology, Health Care, EET Manufacturing, Auto Tech, Facilities Maintenance, and Networking. New instructors were in three of the programs sampled, and the auditor investigated the implementation and effectiveness of the school's New Instructor Induction and Orientation program, including the mentor program. In interviews and follow up record review, it was found that this process continues to be an effective tool for integrating new instructors into the schools system. The Auditor also followed up with instructors regarding the DACUM process as it applied to their areas, along with the OAC (Occupational Advisory) Committees involvement in reviewing and improving

Process	Comments
Curriculum (Continued)	Curriculum. Evidence of the effectiveness of these tools was noted in the areas reviewed with new text books, equipment, and reconfigured infrastructure presented to the Auditor. Some testing of identification and traceability of key materials and tools was also conducted with satisfactory results. Instructors also demonstrated the use of data analysis to make changes in Curriculum delivery and content in an effective manner. Measures: The school tracks three broad types of measures for Curriculum effectiveness, including NOCTI and state test scores, which were reviewed for the 18 programs, with 16 meeting or exceeding established objectives and 2 that were not being the subject of Corrective Action and close attention. Curriculum validity is also assessed by Occupational Advisory Committee feedback, which was found to be positive for all programs. Student satisfaction surveys also revealed high levels of satisfaction.
Resource Management	Two areas of Resource Management were chosen for review to replace the Student Services activities that were not reviewed due to the student emergency. Both Facilities Management and IT Services were reviewed and found to be effectively implemented. Both of these areas have historically provided effective and efficient support for school activities and this continues to be the case. Interviews with Management and staff were positive, and more than adequate documents and records were produced to provide evidence of effectiveness. Measures: Facilities Support Services has three basic goals and achieves them all, including positive customer satisfaction survey results, an average response time of 1.3 days versus a goal of under 7, and positive compliance audit reports from external bodies, as well as Internal Audits. IT Technology consistently meets service goals and up time goals for school IT systems.

Process	Comments
Student Services	Student Services was to be reviewed as part of the audit plan; however, due to a student health emergency that occurred during this part of the audit, the Auditor chose to terminate this part of the audit, as staff was needed to deal with the emergency. The Auditor was able to review the Admissions portion of this process by interviewing staff and reviewing documents and records associated with it and finding that this part of the process is well designed and effectively implemented. Measures: There are four measures for student services, with three being satisfied on a consistent basis, and one where performance is very close to achieving a very high goal and is the subject of constant attention by school leadership. Attendance rates goal is 95% and was 94% last year, which was an improvement over the prior five years results, which were 92-93%. Retention rates have been consistently above the 92% goal, with results of 95% last year. Enrollment share goal has generally been close to the goal of 15% but fell off last year to 10%, resulting in Corrective Action. Customer satisfaction as reported by student satisfaction surveys has been consistently above goal (2.68), with results last year 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.