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Renewal/Surveillance Audit No: 18

ISO 9001:2015

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

ERIE COUNTY TECHNICAL SCHOOL
Erie, Pennsylvania

Date of Report:	October 30, 2019
Date(s) of Audit:	October 8-9, 2019
Number of total mandays scheduled for this audit:	3.5
Number of total mandays actually conducted:	3.5
Audit Team Members (Lead name first):	Steve Pettyjohn Lee Pfennigwerth
Nonconformances (CAN numbers) issued this audit:	None
Nonconformances (CAN numbers) closed this audit:	None

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Associate Certification Director: David D. Hansell Date: October 30, 2019

Ownership of the audit report is maintained by SRI.
Right of perusal by a third party can only be obtained after permission of the audited company.

Executive Summary

An audit was conducted at the location(s) on the date(s) 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. A draft audit report, consisting of the audit team recommendation (R20.36) and related corrective action notifications (R20.35), was provided to the organization by the Lead Auditor prior to the closing meeting.

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. In preparation for the renewal audit, planning considered the performance of the Management System over the period of certification and included a review of the previous surveillance audit reports.

Timing requirements for responding to Corrective Action Notifications are listed on the second page of the R20.35 form, which is part of the draft audit report.

The recommendation in the draft audit report is any one of the following:

Unconditional: No nonconformances were issued. The registered organization was able to demonstrate the capability to implement and maintain an effective Management System, to meet the organization's objectives and intended results, in conformance with the Management System requirements.

Conditional: One or more minor nonconformances were issued. The registered organization was able to demonstrate the capability to implement and maintain an effective Management System, to meet the organization's objectives and intended results, in conformance with the Management System requirements, except where described in the Corrective Action Notification(s).

Terminated: The audit was stopped before a recommendation could be established.

Failed (IATF audits only): The certificate will be withdrawn.

Registration Withheld or Status Notice (Suspension): One or more major nonconformances were issued. The organization was unable to demonstrate the capability to implement and maintain an effective Management System, to meet the organization's objectives and intended results, in conformance with the Management System requirements. For uncertified organizations, no action to issue the initial certificate will occur until the major nonconformity(s) are closed. For certified organizations, SRI will determine if the certificate can be maintained or whether a suspension status or withdrawal of the certificate is warranted. A separate communication will identify the final decision and communicate how the closure of the nonconformity(s) will be handled.

General observations made by the audit team:

- 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.
- The certificate scope was found to be appropriate.
- The audit objectives have been fulfilled.
- There were no deviations from the audit plan.
- There were no issues affecting the audit program.
- There were no unresolved issues at the end of the audit.

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:	Internal audits continue to be well done and represent a strength of the system. Internal auditors are trained on an annual basis, with audits scheduled in an appropriate manner to provide feedback to school leaders.
Management Review Results:	Management Review has been a strong point for the school's Quality Management System. Reviews continue to be held per schedule, with very good records providing evidence of their conformance and effectiveness.
Corrective/Preventive Actions:	The school has a number of mechanisms to implement and record the results of corrective and preventive actions. The audit team examined a sample of them and found that the process continues to be effective in accordance with the requirements of the ISO 9001:2015 standard.
Customer Complaints:	Customers are considered to be students, parents, and local businesses. The school conducts surveys, to which it responds to issues in a prompt manner. Concerns of customers are reviewed and given prompt attention, with appropriate supporting documentation.
Quality System Changes:	There were no Quality System Changes to report at this time.
Results of Documentation Review:	The audit team reviewed the associated documents created to meet the requirements of the ISO 9001:2015 standard, including policies designed for legal and statutory requirements. These documents are comprehensive and meet the requirements of the ISO 9001:2015 standard.
Areas Identified as Not Applicable:	8.5 Service Provision (Only) 8.5.1.f Validation and Revalidation of Special Processes

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. Act 44 regarding school safety and security.
Auditor Comments (Important Observations, Strengths, Exclusions):	The audit confirmed the continued effective implementation of the school's Quality Management System in a manner that meets the requirements of the ISO 9001:2015 standard. The audit team used the process approach to obtain audit evidence, including inspection of the facility, review of documents and records, interviews with instructors and Management staff, and observation of activities during the audit. Interviews with the relatively new Director indicate that he is working to address several critical issues regarding the strategic direction of the school, including new programs and ongoing infrastructure issues. Overall, Erie County Technical School continues to be a model of how an educational organization can use the ISO 9001:2015 approach as a model to effectively manage and improve operations and student performance. The school remains data driven in decision making, and this was demonstrated during all aspects of the audit. Continual improvement and "customer satisfaction" are key goals in the ISO 9001:2015 world, and all areas audited were able to provide evidence of considerable improvement activity and concern with inputs from various customers. The audit team was impressed with the commitment of Management and staff to provide Erie County with educational services to meet the current and future needs of the community. As usual, the audit team received excellent cooperation during the audit and wishes to thank everyone at Erie County Technical School for their help and hospitality during the audit.
Validation of CANs issued during previous activity:	No CANs were issue during the previous event. Therefore, no CANs required validation at the current event.

Review of Outsourced Processes:	There were no outsourced processes to review.
Shifts:	No changes in shifts or times were observed. The single shift was physically audited.
Notable changes (e.g., address, management rep., shifts, scope, processes, employee count, etc.):	There are no notable changes to report at this time.

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

Renewal/Surveillance: 10/08/2019 - 10/09/2019 Total Mandays: 3.5
Steve Pettyjohn, Lead Auditor
Lee Pfennigwerth, Team Auditor

SRI Customer Care Coordinator: Linda Snyder
Coordinator Phone: 724-934-9000 ext. 642
Coordinator Email: lsnyder@sriregistrar.com

Audit Scope

Standard: ISO 9001:2015
Areas Identified As Not Applicable: 8.5.1.f Validation and Revalidation of Special Processes, 8.5 Service Provision (Only)
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. Act 44 regarding school safety and security.
Accreditation Mark(s): ANAB
Registration Approach: Site
Certificate Expiration: 11/12/2019
No Shifts: 1
Times of Shifts: 8:00am-4:00pm

Audit Plan

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

Audit Records

Form R20.36: 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 continues to function in a satisfactory manner. The audit team interviewed key personnel, along with reviewing documents and records. The Director discussed strategic direction and risk issues in an interview with the audit team. Key activities continue to be effective, and the school continues to show active continual improvement initiatives. Measures: The school has several measurement goals and processes in place to gauge performance. Several satisfaction surveys of various interested parties are conducted and evaluated. Student tests, including national standards, are closely monitored, analyzed, and evaluated, with corrective action or risk treatment initiated where performance is below goals.
Curriculum	The Curriculum process is the core process of the school, as it covers the activities associated with the development, delivery, and determination of effectiveness and the need for change. The number of curriculum programs has been reduced to 17, with the elimination of the Electronics program. This mainly dealt with the repair of electronic equipment. The program was dropped due to dwindling enrollment. The school is working through a process of data collection and other inputs to determine what type of program or programs will replace it. While the instructors charged with the delivery of the 17 programs at Erie County Technical School have considerable flexibility, their overall guidance is a structure of controls developed over a long period of time and constantly refined by the school. State regulations are important inputs, but even more importantly, the needs of the industry being served by each program are recognized by the OAC process. This gives program leaders input from industry representatives regarding trends and feedback on how their programs are doing. Instructors devote time and effort to recruiting and fostering community members to participate in the OAC meetings. IT support over the years has provided easier mechanisms for document and data control, which are used effectively by the Instructors.

Process	Comments
Curriculum *(continued)*	During surveillance audits, the auditor develops audit evidence for this process by visiting a sample of program areas and inspects the facility, observes activity, reviews documents and records, and interviews instructors, other staff, and, when appropriate, students. This year, the audit team visited the following programs: • Auto Technology • Computer Networking • Cosmetology • Design and Drafting • Early Childhood • Electrical Engineering • Facility Maintenance • Metal Fabrication • Tourism and Hospitality The process continues to be effective, conformant, and improved. <u>Measures</u>*:* There is a host of measurement mechanisms used in the curriculum process. Constant evaluation at different levels is performed. An important annual performance measure is the NOCTI score, or its equivalent, by each program. This year, two of the eighteen programs at the school did not reach their objectives. Corrective action is initiated when this occurs. In addition, risk mitigation processes are introduced when evaluation indicates potential problems.
Resource Management	The Resource Management process was reviewed and was found to be effectively implemented in a manner that meets the requirements of the ISO 9001:2015 standard. Resource Management consists of the following activities: Facility Management, IT Services, HR/Quality, and Business Office Services. The audit team developed audit evidence by interviewing personnel and inspecting the facility, along with reviewing key documents and records. The Facility Manager has taken on increased responsibilities, as he is also the Safety Coordinator. The school added a member of the sheriff's department as a school safety resource to meet the obligations of new state legislation. Plans have been implemented to

Process	Comments
Resource Management *(continued)*	improve school safety and security. In addition, the current facility is more than 50 years old and was last renovated in 1993. Improving school infrastructure remains a key issue that is still open. The IT activities continue to be implemented and improved in an impressive manner, with many forward-looking initiatives implemented or in the planning phases. Resource Management personnel and leaders continue to impress the auditor with their dedication and effective work to support overall school objectives. Measures: The auditor reviewed goals and objectives along with maintenance schedules and project schedules and found the process to be well managed, with objectives closely monitored and appropriate action taken when deviations are noted.
Student Services	Student Services includes the sub-processes of Recruitment and Admission, Guidance Counseling, Career Development, Special Needs Assistance, and Co-op and Placement Programs. Student Services was audited by interviewing the Principal, Director, and Coordinators and reviewing the information and data they presented to show verification of their program efforts. The processes are well designed to keep their product the curriculum, interested party the State of Pennsylvania, and the customers students and parents as the focus of the activities. The Administration has established goals for these processes and has provided the appropriate resources to help ensure that these goals are achieved. The areas are staffed by educational professionals, and they have developed detailed and effective plans to maintain the requirements and achieve their objectives. Overall, the processes are effectively managed and implemented. Measures: Student and Parent Customer Satisfaction: No significant issues were identified. Issues are handled and resolved as they arise. Recruitment and Admission: Progress and programs toward achieving goals was met. Co-op Placement: Progress toward achievement is in process, with plans in place and good progress.

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.