



SRI Quality System Registrar

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Transition at Renewal / Surveillance Audit No: 15

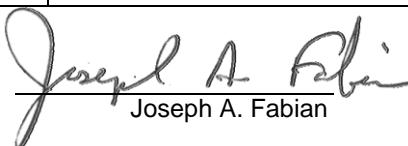
ISO 9001:2015

CONFIDENTIAL
Report
For

ERIE COUNTY TECHNICAL SCHOOL Erie, Pennsylvania

Date of Report:	October 24, 2016
Date(s) of Audit:	October 5-6, 2016
Number of total mandays scheduled for this audit:	3.5
Number of total mandays actually conducted:	3.5
Audit Team Members (Lead name first):	Richard Edgington 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 24, 2016

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

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

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.

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 were performed in April and May of 2016 with no Corrective Action being found. The process approach was used. Audit reports were reviewed and were very complete and followed procedures. Trained auditors were reviewed and found to follow procedures, as well as the audit schedule as approved, thereby, meeting the standard.
Management Review Results:	The Management Review process is very mature and well developed in a manner that is appropriate as a tool to manage the school and meet the requirements of the ISO 9001:2015 standard. The school conducts an in-depth review during the summer, which was held in August of this year. Considerable use of data is made to aide in the decision-making process that occurs during this 1.5-day meeting. A review of the agenda and associated records presented to the audit team confirmed that the process was effective and conformant. Monthly meetings are conducted during the school year to address implementation and follow up for action items identified during the summer meeting. Risk management issues and risk treatment are discussed at this level of the organization.
Corrective/Preventive Actions:	Three Corrective Actions were reviewed and found to be closed in a timely and effective manner. Root cause analysis included risk analysis. The process meets the requirements of the 2015 standard.
Customer Complaints:	Customer satisfaction is part of the Student Services.
Quality System Changes:	Erie County Technical School has transitioned to ISO 9001:2015.
Results of Documentation Review:	The Quality Manual and resultant procedures, along with policy statements, were found to be clearly identified and recorded where required as documented information meeting 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 1846 Chapters 4 and 339
Auditor Comments (Important Observations, Strengths, Exclusions):	<p>The school administration was very supportive to the requirements of the ISO 9001:2015 program effectively using the standard in the management of the school. The Lead Auditor was greatly impressed by the school's efforts to bring the students into the adult world where they can compete with experienced workers. This program also includes "Soft Skills" to provide the interpersonal skills required to participate in family and community activities.</p> <p>The various process details in this report describe how management addresses and implements the requirements of the ISO 9001:2015 standard. Involvement of industry participants, student's faculty, and school management provide extensive inputs into the planning, design, development, and implementation of the curriculum. Quality objectives monitor the performance of the QMS and teacher performance to provide the students with the best possible opportunities. Top management leadership and involvement were very apparent to the audit team. Customer satisfaction of the students, parents, and industry personnel was very apparent and was very positive. Resources for facilities and staff are appropriate. Documented information was adequately controlled. The audit team recommends registration to the ISO 9001:2015 standard.</p>
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:	<p>Number of Shifts: 1</p> <p>Start/End Time: 8:00am to 4:00pm</p>

Notable changes (e.g., address, management rep., shifts, scope, processes, employee count, etc.):	Erie County Technical School has transitioned to ISO 9001:2015.
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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

Transition at Renewal/Surveillance: 10/05/2016 - 10/06/2016 Total Mandays: 3.5

Richard Edgington, Oversight Auditor

Steve Pettyjohn, Team Auditor

SRI Customer Care Coordinator: Carole Walsh

Coordinator Phone: 724-934-9000 ext. 642

Coordinator Email: CWalsh@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

Accreditation Mark(s): ANAB

Registration Approach: Site

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			
Student Services	X			
Resource Management	X			

Process Summary

Process	Comments
Administrative	<p>The Administrative process as defined by the Erie County Technical School (ECTS) Quality Manual consists of the activities associated with Administrative Services, Auditing, and Improvement. Comments regarding internal auditing are found elsewhere, along with improvement. These comments focus on Administrative Services activities.</p> <p>Administrative Services focuses around Top Management Leadership and the key summer Management Review process. Four action items emerged from the summer annual review.</p> <ol style="list-style-type: none">1. Teacher Success Planning (TSP) - ECTS currently collects considerable feedback data, including parent and student survey results, along with NOCTI and other test results. The current plan includes six action steps designed to create a more disciplined and useful approach to reviewing and planning teacher performance improvement relying on a deeper analysis of feedback. The theory is to leverage teacher's strengths as identified in feedback and then develop ways to improve on areas where challenges exist. Interestingly, the process ends with documentation defining what success would look like at the end of the year. An emphasis is placed on making the process teacher owned.2. Business Office Financial Management Software Purchase - start the research process to replace a two-decade old software system.3. Investigate a revised Mentor System - the school has four new teachers this year, and it seemed like a good time to introduce a review and upgrade of the current mentor system to help integrate new instructors. Improvements include a steering committee to develop the program, along with a more stringent planning and follow-up process.4. Create A Portfolio Alternative - this was originally part of performing observations of teacher performance for instructors. The school developed a list of 11 items to excuse the instructors from creating portfolios. Portfolios

Process	Comments
Administrative (Continued)	<p>were considered to have devolved into non-value added work that took considerable amounts of time.</p> <p>Measures:</p> <p>The school conducts an operations and management survey of faculty and staff for feedback on Instructional Leadership. The target is to have a 90% positive response rate. The survey was not held for several years and was reintroduced this year, with results of 68% (results are probably influenced by the fact that the school is conducting negotiations with the faculty union). Audit results are measured on timeliness of completion and response, and this is rated 100%. Improvement activities are reviewed during Management Review for completion and effectiveness, and these were judged positive for the year.</p>
Resource Management	<p>The Technology IT Services and Support area was closely examined during the audit and found to be effectively implemented, providing improved services. The Help Desk operation is now staffed by a full-time employee with back up from the Technology Manager. Technology is the back bone of most 21st century organizations and plays an especially important role at ECTS. The school has developed and implemented a sophisticated wireless network to support devices used by students, faculty, and administration. In addition, a very impressive management approach for laptop computers has been introduced that provides for very good controls, excellent identification and traceability, and a very clever and thoughtful approach to managing software and software upgrades. The audit team spent some time investigating the implementation progress of the new Infinite Campus software that was introduced last year and presented several difficulties for the Administration area in capturing important data. Based on investigation that included interviews throughout the organization, the audit team verified that much progress has been made in addressing these issues, and they should be effectively eliminated by the end of this school year. The audit team followed the implementation of several improvements during the audit, as they</p>

Process	Comments
Resource Management (Continued)	<p>visited different areas of the school. Despite the problems encountered with the Infinite Campus software, technology should be considered an area of strength for the organization.</p> <p>Facilities management was audited by interviewing the Maintenance Director and auditing the various building maintenance activities. HVAC is the biggest and most important of the maintenance activities. Two preventative maintenance activities are performed. During the summer recess, major maintenance activities were performed, such as painting and floor refurbishment. Maintenance is a challenging activity, as the buildings are aging with considerable thought going into potentially major expenditures.</p> <p>Measure:</p> <p>Repair Request Response to IT maintenance requests is the primary measure, with a goal of responding to 90% of requests with an average of less than seven days with 2015-2016 school year average at 86%. This should improve as Infinite Campus issues are eliminated.</p>
Curriculum	<p>The Curriculum process is a key process for the school and involves curriculum development and delivery. The audit team reviewed the Curriculum Development process with the Executive Director who presented an overview of the process, including associated documents and records. The school has a documented Curriculum Development process that follows the DACUM approach and uses the PDCA cycle. This approach is documented using the Modified DACUM Research Chart, which has been developed by the school as their approach to this process. In addition, the school executes 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</p>

Process	Comments
Curriculum (Continued)	<p>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 six curriculum programs sampled, which included Cosmetology, Graphics Communication, Drafting and Design, Precision Machining, Facilities Maintenance, and Networking. In interviews and follow-up record review, it was found that the Curriculum Delivery process continues to be effectively implemented. The audit team also followed up with instructors regarding the DACUM process as it applied to their areas, along with the OAC Committee involvement in reviewing and improving 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.</p> <p>Measures:</p> <p>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 14 meeting or exceeding established objectives and 4 that were being paid 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 during the three year registration period. It should be noted that some data usually available on an annual basis was not available due to teething problems with the new Infinite Campus software system.</p>

Process	Comments
Student Services	<p>Student Services was audited by interviewing the Director of Student Services and the heads of the following services: Recruitment and Enrollment, Attendance and Retention, Guidance, and Placement. Each of these activities provide the students with superb guidance and help as they enter the world after graduation. An active process is effectively providing recruitment and enrollment, along with guidance concerning attendance. Professional provided literature encourages enrollment. The expansion of the co-op program gives students the opportunity to "Earn and Learn." Much effort is being directed towards major expansion to this program. The auditor was impressed with the efforts being directed toward insuring students receive all the opportunities to insure life-long success.</p> <p>Measures:</p> <p>Co-op participation with a goal of 30%; currently at 31%</p> <p>Customer Satisfaction with a goal of 2.68; currently at 2.83</p> <p>There are three other measures; however, the tracking is not available due to the previously mentioned computer problems.</p>

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.