SOP for Quality Management Assessments  
(QMA or QM Assessment)

# Document Purpose

The purpose of this document is to outline the process for QM Assessments.

# Scope

QM Assessments completion and publishing process

# Document Revision History

| Date | Rev # | By Whom | Description |
| --- | --- | --- | --- |
| 03/22/12 | 01 | Fadia Azar | Initial document |
| 03/27/12 | 02 | Fadia Azar | Updated with feedback from performance |
| 4/9/2012 | 03 | Joy Rendina | Updated with feedback from the team |
| 10/16/2012 | 04 | Ed Brothers | Grading alignment with Performance Assessment  Update responsibilities after reorganization  Corrected URLs throughout  Updated Performance Assessment (PA) instructions to point to the PA Process document  Update “How to Complete” for new org |
| 11/26/2012 | 05 | Ed Brothers | Added the actual link to the PA document |

# Responsibilities

The following Roles and Responsibilities are related to this QM Assessment process:

| **Role Description** | **Responsibilities** |
| --- | --- |
| QM/Performance | Lead or delegate who fills out the QM Assessments |
| AE Manager | Approves QM Assessment as final prior to deployment |

# Approvals

Review and update process this documents with SDLC

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Role** | **Responsible** | **Accountable** | **Consulted** | **Informed** |
| AE Mgr |  | X |  |  |
| CCB/Release Mgmnt |  |  | X |  |
| QM Leads |  |  |  | X |
| Tech Leads |  |  |  | X |
| SDLC | X |  |  |  |

# Process Flow



# QM Assessments Communication and Reporting:

1. QM Assessment is an InfoPath form. It can be accessed at the QM SharePoint site:

<http://sharepoint/digcom/QualityManagement/QM%20Assessments/Forms/AllItems.aspx>

1. QM Assessments are be published by being attached to the Release Management ticket: <http://sharepoint/digcom/ITRM/ccb/Lists/Change%20Requests/AllItems.aspx>

# Completing a QM Assessment

Every Change Control Board (CCB) ticket requires QM signoff. Use the following steps for completing a QM Assessment to provide that signoff. All fields must have values entered.

**Project Information**

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Role** | **Item** | **Task** |
|  |  |  | Start at: <http://sharepoint/digcom/QualityManagement/QM%20Assessments/Forms/AllItems.aspx> |
| 1 | QM |  | Click the “New” button at the top of the page (a form will open) |
| 2 | QM | Integration ECN | Enter the ECN where integration testing was performed |
| 3 | QM | Stage ECN | Enter the ECN where stage testing was performed |
| 4 | QM | Go / No-Go | Set the Go or No-Go state for the assessment |
| 5 | QM | Status | Set to “Draft” |
| 6 | QM | CCB Ticket Number | Enter the ticket number corresponding to the CCB (numeric value only) |
| 7 |  | Project Name\* | Select the Project Name from the drop down |
| 8 | QM | Go Live Date | Enter the Implementation Date from the CCB ticket |
| 9 | QM | Stage | **Assessment Stage** should be set to **Preliminary** if there is sufficient time to do both a preliminary and final assessment. If there is only one assessment being created, set this value to **Final** |

\*If your project is not shown in the Project Name drop down menu it can be added at:

<http://sharepoint/digcom/QualityManagement/Lists/Project%20List/Project%20List.aspx>

**Project Grading and Evaluation**

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Role** | **Item** | **Task** |
| 1 |  | Overall Grade | Select the letter grade corresponding to the grading guide in this document |
| 2 | QM | Overall Evaluation | Enter a “big picture” view of the quality and testing specifically related to the CCB being assessed. This is a statement about the general quality for this deployment and the recommended action, “Go” or “No Go”. If there is something that needs to be explained about the deployment it would go here.  For example: Order placement was failing on orders with overnight delivery. This has been fixed and functionally tested with eight new test cases covering this specific scenario. The standard regression suite for order placement was also executed. This fix touches code critical to revenue and was reviewed by the performance team.  Functional: Go  Regression: Go  Performance: Go |
| 3 |  | Testing Grade | Select the letter grade corresponding to the grading guide in this document |
| 4 |  | Test Evaluation | Enter the details about what was tested and what the results were. This is a summary of all the testing activities involved with this deployment. It will describe the test cases, results, and issues that had to be mitigated or worked around.  For example:  $\QC\Path\To\NewTestCaseResults – 8 Pass, 0 Fail  $\QC\Path\To\RelatedTestCaseResults – 13 Pass, 1 Fail (QC#00000)  $\QC\Path\To\StdRegressionResults – 40 Pass, 2 Not Run (QC#00000, QC#00000)  Related failure occurs only on Chrome 17 which is being removed from the supported browsers list in the next quarter. This item has been discussed with product team and all are agreed the item is not worth fixing. See attached email from Biff Bizguy.  Regression tests were a full pass with the exception of two known issues that are not in scope for this deployment.  Performance review of this fix determined that a standard performance test would be required to confirm that these changes do not impede performance. See details in the performance section. |
| 5 |  | Performance Grade | Enter the [Performance Grade](http://sharepoint/digcom/QualityManagement/Shared%20Documents/QM%20Process%20Documents/QM%20Process%20Documents%202012/Performance_Approval_for_QM_Assessments_v1.docx) provided by the Performance Team |
| 6 |  | Performance Approver | Select the name of the Performance Team member providing the assessment |
| 7 |  | Performance Eval. | Enter the Performance Evaluation provided by the Performance Team |

**Project Details**

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Role** | **Item** | **Task** |
| 1 |  | Highlights | Enter any information you wish to have appear as a headline on the QMA web site as this informant populates automatically to the site from the form. |
| 2 |  | Risks & Concerns | Enter any risks or concerns about the release that are not covered elsewhere or you feel warrant additional attention. |

**Project Metrics**

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Role** | **Item** | **Task** |
| 1 |  | Total Test Cases | Enter the number of test cases executed for this deployment |
| 2 |  | Test Cases Passed | Enter the number of test cases passing for this deployment |
| 3 |  | Test Cases Failed | Enter the number of test cases failing for this deployment |
| 4 |  | Tests Not Run | Enter the number of test cases that were planned for execution but not run – this will need to be explained in the Testing Evaluation section |
| 5 |  | Total Defects | Enter the number of defects encountered while executing above referenced test cases |
| 6 |  | Resolved Defects | Enter the number of encountered defects that are resolved for this deployment |
| 7 |  | Open Defects | Enter the number of encountered defects remaining open for this deployment |
| 8 |  | Supporting Documents | Attach up to three documents that support the QM Assessment. If no support is required, no attachments are necessary. |
|  |  | Created … | Automatically filled in |
|  |  | Modified … | Automatically filled in |

The project metrics section must be completed, if there are no values to enter, enter a zero (0.)

**Approving the QM Assessment**

When the QM Assessment has been fully drafted the Status is set to In Review.

|  |  |  |  |
| --- | --- | --- | --- |
| **Step** | **Role** | **Item** | **Task** |
| 1 | QM | Status | Set the Status field to **In Review** when the assessment has been fully drafted  Save the form  “Check In” the assessment at the SharePoint site  Notify the AE Manager the QMA is ready for review |
| 2 | AE | Status  Stage | “Check Out” the assessment from the SharePoint site  Set the Status field to **Final** after reviewing the entire assessment  Set the Stage field to **Final** after reviewing the entire assessment  Save the form  “Check In” the assessment at the SharePoint site  Notify the QM Lead the QMA is ready to be linked to the CCB |
| 3 | QM |  | Update the CCB form with the name of the QM Lead approving the deployment and add the URL for the assessment into the CCB form as well. |

# QM Assessment Grading Guide

The overall assessment provides a Go or No-Go statement based on the grade earned using the criteria below:

* Grade A – Meets all quality standards ≥ 95% pass rate
* Grade B – Meets most quality standards ≥ 90% pass rate
* Grade C – Quality Compromised ≥ 85% pass rate
* Grade D – Failed to meet quality standards < 85% pass rate

If the Testing Grade and the Performance Grade differ, the overall QM Assessment should be the lower grade.

The formula for calculating the pass rate is:

Total Cases Passed/ (Total Number of Test Cases – Tests Cases Not Run)

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Decision** | **Grade** | **Definition** | **Quantitative Criteria** | **Qualitative Assessment** |
| **Go** | **A** | Go – less than 5% test failure rate | 1. 100% completion of planned test cases 2. 95% pass rate (defect rate to executed test scripts) 3. No open Very High defects 4. No open High defects | * High degree of confidence in the level of test coverage * No open defects compromising user experience or revenue stream * No known risks to the release |
|  | **B** | Go – less than 10% test failure rate | 1. 100% completion of planned test cases 2. 90% pass rate (defect rate to executed test scripts) 3. No open Very High defects 4. No open High defects, or committed fix date during stabilization | * High degree of confidence in the level of test coverage * Some known defects that could compromise user experience or revenue stream * Risks have been mitigated for this release |
|  | **Not Required** | Not tested & Go | 1. Test execution is not required or not possible and does not present an unacceptable level of risk | * Test execution is not required or not possible * Does not present an unacceptable level of risk |
| **No Go** | **C \*** | No Go – Incomplete tests  **AND**  Greater than 15% test failure rate  **BUT**  Business exception obtained | 1. Less than 100% completion of planned test cases 2. 85% pass rate (defect rate to executed test scripts) 3. No open Very High defects 4. High defects with committed fix date during stabilization or later   **\* Business exception has to be obtained for the deviation by QM Lead** | * Test coverage has been reduced and high number of defects being implemented into production * User experience and revenue streams could be impacted |
| **D** | No Go – Incomplete tests  **AND**  Greater than 15% test failure rate | 1. Incomplete testing of planned test cases 2. Less than 85% pass rate (defect rate to executed test scripts) 3. Open Very High defects 4. Open High defects that compromise user experience and/or impact revenue stream | * Test coverage has been reduced to unacceptable level with a high number of defects being implemented into production * High degree of risk introduced in production causing user experience and revenue streams to be impacted |
| **Not Tested** | Not Tested & No Go – Not tested & medium to high risk was assessment | 1. Functional Testing is not completed due to various constraints such as time, environment or resource 2. Medium to high risk determined by expert evaluation | * Test execution is necessary and not possible * There is an unacceptably high level of risk for this CCB to proceed to production without testing. |

Very High and High are the top two defect severity ratings and can be interpreted with the same significance as an SL1 or SL2 issue in the production environment.

# Key callouts

1. No “Conditional” Go statements are to be provided. Don’t use the ‘promise’ of the defect fixes and/or new builds in the ‘go’ decision.
2. The QM Lead should engage early with the Performance Team to ensure the Performance Team is up to date with the latest project/ticket information.
3. Provide supporting materials for defects.
4. If you call out a Risk/Issue that is known or approved, include that in the Assessment, who approved it and when it was approved.
5. Ensure you are clear on the assessment grading. If it received less than an A – state why!
6. List the details behind the critical defects that are outstanding (what’s causing a less than an A rating)
7. For QMAs with a Grade of C, provide the name of the Business Partner accepting the risk and attach the email containing their sign off.
   1. State if there is a plan to fix the items leading to the Grade of C and the target release date for same.

# Related Processes

Related documentation can be found at:

<http://sharepoint/digcom/QualityManagement/Shared%20Documents/QM%20Process%20Documents/QM%20Process%20Documents%202012/>

Performance Approval

<http://sharepoint/digcom/QualityManagement/Shared%20Documents/QM%20Process%20Documents/QM%20Process%20Documents%202012/Performance_Approval_for_QM_Assessments_v1.docx>

# Document Storage

This document will be stored on the QM SharePoint site:

<http://sharepoint/digcom/QualityManagement/Shared%20Documents/QM%20Process%20Documents/QM%20Process%20Documents%202012/QM%20Assessment%20Process.docx>

**End Document**