

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**MI CY1504 RFSS Maintenance**

Adam Bek

29-Apr-2016

Revision 1

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 11-Jan-2016 | Summary Review 1 |
| 2 | 12-Feb-2016 | Summary Review 2 |
| 3 | 01-Apr-2016 | Draft CAPA |
| 4 | 05-Apr-2016 | Draft CAPA (1) |
| 5 | 29-Apr-2016 | CAPA |

**Project Information:**

Customer Name: Michigan Lottery

Batch Name: MI CY1504 RFSS Maintenance

SAP ID: MI21522

Location: Austin

Go Live date: 20-Mar-2016

**Project Stakeholders:**

Regional Lead: John Quigley

Program Manager: Stephen Clement

Software Project Manager: Homer Diaz

Compliance Manager: Karen Robertson

Standards Compliance Lead: Adam Bek

**Related Documents:**

None

## Definitions, Acronyms and Abbreviations:

* BI – Business Intelligence
* CML – Configuration Management Lead
* CR – Change Request
* PRR – Product Release Request
* RDL – Regional Lead
* SDD – Software Design Description
* SRS – Software Requirements Specification
* CAPA – Correct Action/Preventive Action Report

**Project Schedule:**

**Current schedule**

|  |  |  |
| --- | --- | --- |
| **Task Name** | **Start** | **Finish** |
| **Analysis/Design** | **Mon 11/23/15** | **Fri 12/25/15** |
| **Development** | **Mon 12/21/15** | **Fri 1/22/16** |
| **Integration** | **Mon 1/25/16** | **Fri 1/29/16** |
| **System Testing** | **Mon 2/1/16** | **Fri 2/26/16** |
| **CAT** | **Mon 2/29/16** | **Fri 3/18/16** |
| **Install** |  | **Sun 3/20/16** |

**Scope:**

This review is for the MI CY1504 RFSS Maintenance. The detail findings below are a result of the two summary review and the final findings report.

The purpose of the CAPA report is to provide management with appropriate visibility into the processes being used by the software project(s) and of the products being built. This report will provide insight into any process improvements, trend analysis or other project issues that come up.  A Management response is required by the project for the findings listed below. Any discrepancies can be reported back to the STC Lead. Corrective Action or Preventative Action will then be given based on the responses and the findings.

*Sample of required management response below:*

|  |  |
| --- | --- |
| **Finding:** | **Detail:** |
| **Management Response:** |
| **Corrective Action/Preventative Action**  *This will be completed by STC once management responses are completed* |

Summary of Findings/Weaknesses:

|  |  |
| --- | --- |
| **Finding:**  Integrated Project Management | **Detail:**   * No evidence of Release Notes Terminal however MI CY1504 - RN was linked to URL address * No evidence of UTR documented in Release Note Terminal |
| **Management Response:**   |  | | --- | | According to PMO, software engineers should be using the new automated release notes process – which provides a URL not a document. The template for these release notes, does not currently contain UTR status. | |
| **Corrective Action/Preventative Action**   * Compliance approves of managements response and will include this finding in the preventive action report. * Projects are required to complete the Unit Test results in JIRA to populate the automated release notes. |
| **Finding:**  Product Integration | **Detail:**   * No evidence CAT and Production PRR * Project did not define the release process for external release   **Note:**  Project initiated RFC release process but did not complete the approval process. |
| **Management Response:**   |  | | --- | | The production PRR was documented by RFC as listed in the SPP (SDP). The RFC numbers were included in the Formal release review. | |
| **Corrective Action/Preventative Action**   * Compliance approves of managements response and will include this finding in the preventive action report. * Product releases to customer or production systems require an approval and are initiated by the submission of a Product Release Request/Request for Change (RFC) by the Software Project Manager. |
| **Finding:**  Project Monitoring  and Control | **Detail:**   * CAT readiness form was not completed correctly. Few sections not filled, Lack the list of attenders. * No evidence of Customer CAT readiness **– NASPL Requirement** |
| **Management Response:**   |  | | --- | | There is a standing Tailoring request from pmax days that the CAT readiness will cover the Customer CAT readiness. If this needs to be documented again, please let me know.  For the review form not completed correctly, we were training a new PC, that issue should be fixed in the future. | |
| **Corrective Action/Preventative Action**   * Compliance approves of managements response and will include this finding in the preventive action report. * Pmax is no longer a mandated software to provide/standing Tailoring request * Project must use the Tailoring Request Tracker Report for future batches * NASPL requires a Lottery representative to attend the Customer CAT readiness review and authorize the progression to CAT |
| **Finding:**  Project Monitoring  and Control | **Detail:**   * CR 1 Go-Live Date change 2/5/16 was not closed - Status Open * PSR was not completed weekly |
| **Management Response:**   |  | | --- | | For the review form not completed correctly, we were training a new PC, that issue should be fixed in the future. | |
| **Corrective Action/Preventative Action**   * Compliance approves of managements response and will include this finding in the preventive action report. |

**Detail of Findings:**

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** | **Category** |
| SummB2:G33 | | | | | |
| PMC | SG1 | 1.6 | PSR reports not completed on 19 and 26 Dec-2015; 02-Jan-2016 | LI |  |
| Summary of Findings Report # 2 | | | | | |
| IPM | SG2 | 2.1 | No evidence of Release Notes Terminal however was linked to URL address MI CY1504 - Game Card Release Notes.url, RNs needs to be posted in Clarity | PI |  |
| PMC | SG1 | 1.6 | Project was opened the #1 CR in Clarity however there was identified #4 CRs in Weekly Meeting minutes on 10-Feb | PI |  |
| PMC | SG1 | 1.6 | PSR reports not completed on 09,16 and 30-Jan-2016 | PI |  |
| Summary of Findings Report draft CAPA | | | | | |
| IPM | SG2 | 2.1 | No evidence of UTR documented in Release Note Terminal | NI |  |
| PMC | SG1 | 1.6 | PSR reports was not completed weekly | LI |  |
| PMC | SG2 | 2.1 | CAT readiness form was not completed correctly. Few sections not filled, Lack the list of attenders. | PI |  |
| PMC | SG2 | 2.1 | No evidence of Customer CAT readiness | NI |  |

**Appendix**

**CMMI Process Areas and Definitions**

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| --- | --- |
| **Process Area** | **Definition** |
| Requirements Development (RD) | RD emphasizes the establishment of customer, product and product component requirements. |
| Requirements Management (REQM) | REQM adds the management of requirements to provide a well-controlled foundation on which the product is built. |
| Project Planning (PP) | PP aids project managers in planning project activities |
| Project Monitoring and Control (PMC) | PMC emphasizes managing project performance according to the plan. |
| Risk Management (RSKM) | RSKM enables projects to proactively identify and reduce risks that may jeopardize achieving project objectives. |
| Configuration Management (CM) | CM emphasizes configuration management and change control processes for designated work products. |
| Process and Product Quality Assurance (PPQA) | PPQA evaluates the quality of processes and work products. |
| Measurement and Analysis (MA) | MA addresses the information needs of the organization and projects with a measurement system. |
| Decision Analysis and Resolution (DAR) | DAR supports making major decisions using a formal decision process. |
| Technical Solution (TS) | TS focuses on designing and building the solutions. |
| Product Integration (PI) | PI addresses integrating the solutions and delivering the products. |
| Verification (VER) | VER emphasizes ensuring the solutions satisfy the requirements. |
| Validation (VAL) | VAL emphasizes ensuring the solutions satisfy the need. |

**Legends for the ratings:**

**LI** – Largely Implemented

**PI** – Partially Implemented

**NI** – Not Implemented

|  |
| --- |
| **Abbreviations (ratings)** |
| LI-Largely Implemented |
| PI-Partially Implemented |
| NI-Not implemented |
| OBV-Observation |