

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**NY CY1504 PB Subs Batch**

Luis Mario Cancino Garcia

18 - April - 2016

**Review History**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 04-Jan-2016 | Summary Review 1- Monika Augustyniak |
| 2 | 16-Feb-2016 | Summary Review 2- Monika Augustyniak |
| 3 | 07-Mar-2016 | Summary Review 3- Monika Augustyniak |
| 4 | 01-April-2016 | Draft CAPA – Luis Mario |
| 5 | 18-April-2016 | Final CAPA – Luis Mario |

**Overview of Appraisal:**

Customer Name: New York Lottery

Batch Name: NY CY1504 PB Subs Batch

SAP ID: NY22993

Location: ATC

Go Live Date: 28-Mar-2016

**Project Stakeholders:**

Regional Lead: John Quigley

Program Manager: Damion Ferraro

Software Project Manager: Beki Mason-Corwin

Compliance Manager: Karen Robertson

Standards Compliance Lead: Luis Mario Cancino Garcia

**Scope:**

## 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. A 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:**

|  |  |
| --- | --- |
| Project Planning  (PP) | **Detail:**   * No evidence customer approved of Project Scope Statement |
| **Management Response:**   |  | | --- | | * Final PSS is out for NYL approval 07-Apr | |
| **Corrective Action/Preventative Action**   * Compliance will include finding in preventive action reports for subsequent batches * Project Scope Statement (PSS) must be approved at onset of the project * Project has evidence of RL approval; missing evidence customer approval |
| Configuration Management  (CM) | **Detail:**   * No evidence of Product Release Request approval for CAT and Production   **Note**:  Project created documentation detailing PRR but did not attain the required CCB approval prior to CAT and Production activities |
| **Management Response:**   |  | | --- | | * Updated in Clarity 07-Apr | |
| **Corrective Action/Preventative Action**   * Compliance will include finding in preventive action reports for subsequent batches * PRR must be submitted and approved prior to CAT and Production activities |
| Project Monitoring and Control | **Detail:**   * No evidence site representative attended Customer CAT meeting   **Note:**  TR #12 – Andrew. B (Site Rep) goes thru this data with Larry. M (NYL) who approves progression to CAT |
| **Management Response:**   |  | | --- | | * Project confirmed site rep reviewed CAT agenda with customer and customer authorized progression to CAT. Project will ensure site rep attends meeting and documents customer approval | |
| **Corrective Action/Preventative Action**   * Compliance approves of resolution response and will include finding in preventive action reports for subsequent batches. |
| Configuration Management | **Detail:**   * No evidence baseline for ESLI, ESPS and ESOLPM documented and included in SQA Phase Readiness |
| **Management Response:**   |  | | --- | | * The CM SQA Baseline will be updated (PC may have checked this into wrong folder but will be corrected) | |
| **Corrective Action/Preventative Action**   * Compliance approves of resolution response and will include finding in preventive action reports for subsequent batches. |
| Verification | **Detail:**   * No evidence peer review results were logged in the PRMS tool * QA Test Procedures * Release Notes |
| **Management Response:**   |  | | --- | | * PRMS was requested after the project was started. I am logging them all in PRMS now. | |
| **Corrective Action/Preventative Action**   * Compliance approves of resolution response and will include finding in preventive action reports for subsequent batches. |

**Detail of Findings:**

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| --- | --- | --- | --- | --- |
| **PA** | **Goal** | **SP** | **Description** | **Rating** |
| PP | 1 | 1.1 | No evidence customer approved of Project Scope Statement | PI |
| CM | 1 | 1.3 | No evidence of Product Release Request approval for CAT and Production | PI |
| PMC | 1 | 1.7 | No evidence site representative attended Customer CAT meeting | LI |
| CM | 1 | 1.3 | No evidence baseline for ESLI, ESPS and ESOLPM documented in SQA Phase Readiness | LI |
| VER | 2 | 2.3 | No evidence peer review results were logged in the PRMS tool | LI |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **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 | |

**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. |