

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**MEX CY15 Maintenance Batch A**

Monika Augustyniak

7-July-2016

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 12-Apr-2016 | Summary Review 1 (prepared by Mario Garcia) |
| 2 | 01-Jun-2016 | Summary Review 2 |
| 3 | 27-Jun-2016 | Draft CAPA Report – Peer Review 1 |
| 4 | 29-Jun-2016 | Draft CAPA Report – Peer Review 2  (prepared by Mario Garcia) |
| 5 | 7-July-2016 | Final Draft  (prepared by Mario Garcia) |

**Project Information:**

Customer Name: Mexico Lottery

Batch Name: MEX CY15 Maintenance Batch A

SAP ID: MEX21455

Location: ATC

Go-Live date (s):

* Release 1 on 13-Mar-2016
* Release 2 on 17-May-2016
* Release 2.5 on 18-Jun-2016 ( 3 week cycle)

**Project Stakeholders:**

Regional Lead: Chris Segura

Program Manager: Dominique Garcia

Software Project Manager: Tatiana Oria

Compliance Manager: Karen Robertson

Standards Compliance Lead: Monika Augustyniak

## Definitions, Acronyms and Abbreviations:

* BI – Business Intelligence
* CML – Configuration Management Lead
* CR – Change Request
* PAF – Project Approval Form
* PRR – Product Release Request
* QA – Quality Assurance
* RDL – Regional Lead
* SDD – Software Design Description
* SPM – Software Project Manager
* SRS – Software Requirements Specification

**Project Schedule:**

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| --- | --- | --- |
| **Sprint 1 Activities** | **Initial Date** | **End Date** |
| Sprint 1 Reqs, Dev, UT | Feb 15 | Feb 26 |
| Sprint 1 QA | Feb 29 | Mar 04 |
| Sprint 1 CAT | March 07 | March 11\* |
| Sprint 1 Go Live | March 13 \* | March 14 \* |
| **Sprint 2 Activities** | **Initial Date** | **End Date** |
| Sprint 2 Reqs, Dev, UT | March 21 | April 01 |
| Sprint 2 QA | April 04 | April 15 |
| Sprint 2 CAT | April 18 | April 29 \* |
| Sprint 2 Go Live | May 17 | May 17 \* |
| **Sprint 2.5 Activities** | **Initial Date** | **End Date** |
| Sprint 2.5 Go Live | June 18 | June 18 |

**Scope:**

This review is for the MEX CY15 Maintenance Batch A. The detail findings below are a result of the two summary reviews 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:

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| **Finding:**  Product Integration (PI) | **Detail:**   * No evidence of Integration Log for Release 2 |
| **Management Response:**   |  | | --- | | * Project conducted integration activity; integration milestone review accounts for the development of the integration log but it was not completed or stored in Clarity. | |
| **Corrective Action/Preventative Action**  These findings will be included in the preventive action report for subsequent batches.   * The Integration log is mandatory |

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| **Finding:**  Configuration Management | **Detail:**   * No evidence of CAT Product Release Request for all Releases 1 * No evidence of Production Product Release Request for Releases 2 |
| **Management Response:**   |  | | --- | | * Project will review the PRR process and modify it to reflect project practices for release 3   **Release to CAT**   * Approvals will captured as part of the CAT meeting with the customer/Operations lead or email from customer   **Release to Production**   * RFC # or customer approval via email | |
| **Corrective Action/Preventative Action**  These findings will be included in the preventive action report for subsequent batches. |

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| **Finding:**  Project Monitoring and Control (PMC) | **Detail:**   * No evidence project fully completed milestone reviews for Release 1 and Release 2 * Development Phase Readiness Milestone Review * Integration Phase Milestone Review * CAT Phase Milestone Review Meeting |
| **Management Response:**   |  | | --- | | * Project conducted the milestone review but did not complete the records for each review listed above. * CAT Readiness was scheduled 15APR * Customer CAT not required – Not a NASPL member | |
| **Corrective Action/Preventative Action**  These findings will be included in the preventive action report for subsequent batches. |

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| **Finding:**  Project Planning (PP) | **Detail:**   * No evidence of SPP approved |
| **Management Response:**   |  | | --- | | Project SPM did approve of SPP but project did not maintain records of this activity  Project is planning to submit a tailoring request to establish a project plan at the program level instead at the batch.  Batches will be managed using a modified version of the project plan in the form of a checklist. Details of this effort will be defined in the upcoming tailoring request. | |
| **Corrective Action/Preventative Action**  These findings will be included in the preventive action report for subsequent batches. |

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| **Finding:**  Technical Solutions (TS) | **Detail:**   * No evidence of approvals for SDD Host, IPS and ESRS - Release 1 * No evidence of approvals for SDDs Host, IPS Host, ESRS, B2B, ESBI and ESOLPM - Release 2 (R 2) * No evidence of approval for SDDs ESRS - Release 2.5 * No evidence of approvals for Release Notes ESTE/Host, IPS Host, ESRS, ESBI and ES OLPM - R 2 |
| **Management Response:**   |  | | --- | | * Approvals were completed by SPM but using the email process to manage approvals is inefficient use of time and makes it difficult to capture required records. * Program manager will redefine approval requirements for project documentation. * Approvals of SDDs will be done by the SPM and the “Acceptance” status in the PRMS will be considered objective evidence of SPM approval. * PM accepted RN prior to start of CAT and distributed to QA lead as a result. * QA lead and SPM will approve of the RNs at the QA phase readiness review; evidence of approval will be captured in meeting minutes. * Kick-off or weekly meeting minutes will identify the initial SDD requirements and the Development milestone will verify accuracy and completeness * Project will use the weekly meeting agenda template to status and account for the required SDDs. This will ensure the SDP does not become disjointed from actual SDD requirements | |
| **Corrective Action/Preventative Action**  These findings will be included in the preventive action report for subsequent batches. |

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| **Finding:**  Verification (VER) | **Detail:**   * No evidence of QA Test Plan Peer Review for Release 1. * No evidence of SDDs ESRS, OLPM Peer Reviews for Release 1. * No evidence of Installation Plan Peer Review for Release 1 * No evidence of QA Test Procedure peer reviews for Release 2 * No evidence of RNs IPS Host, ESRS, ESBI and ESOLPM peer reviews completed in PRMS for Release 2. |
| **Management Response:**   |  | | --- | | See decisions regarding release 1 peer review.  Design phase will overlap with Development, due to compression of schedule based on business needs. | |
| **Corrective Action/Preventative Action**   * These findings will be included in the preventive action report for subsequent batches. * Submittal peer review results to the PRMS tool are mandatory; project must have an approved tailoring request to deviate from this process |

**Detail of Findings:**

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| --- | --- | --- | --- | --- |
| **CAPA REPORT** | | | | |
| **PA** | **SG** | **SP** | **Description** | **Rating** |
| PI | 1 | 1.1 | * No evidence of Integration Log for Release 2 | NI |
| CM | 1 | 1.3 | * No evidence of CAT Product Release Request for all Releases 1 * No evidence of Production Product Release Request for Releases 2 | LI |
| PMC | 1 | 1.7 | No evidence project fully completed milestone reviews for Release 1 and Release 2 | LI |
| PP | 2 | 2.7 | No evidence of SPP approved | LI |
| TS | 2 | 2.1 | * No evidence of approvals for SDD Host, IPS and ESRS - Release 1 * No evidence of approvals for SDDs Host, IPS Host, ESRS, B2B, ESBI and ESOLPM - Release 2 (R 2) * No evidence of approval for SDDs ESRS - Release 2.5 * No evidence of approvals for RNs ESTE/Host, IPS Host, ESRS, ESBI and ES OLPM - R 2 | LI |
| VER | 2 | 2.2 | * No evidence of QA Test Plan Peer Review for Release 1. * No evidence of SDDs ESRS, OLPM Peer Reviews for Release 1. * No evidence of Installation Plan Peer Review for Release 1 * No evidence of QA Test Procedure peer reviews for Release 2 | PI |
| VER | 2 | 2.3 | * No evidence of RNs IPS Host, ESRS, ESBI and ESOLPM peer reviews completed in PRMS for Release 2. | PI |

**Appendix**

**CMMI Process Areas and Definitions**

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| **Process Area** | **Definition** |
| Requirements Development (RD) | Elicit, analyze, and establish customer, product, and component requirements |
| Requirements Management (REQM) | Management of product requirements and align requirements with project plans and work products |
| Project Planning | Establish and maintain plans that define project activities |
| Project Monitoring and Control | Provide management an understanding of the project’s progress and provide corrective actions for deviations |
| Risk Management | Identify potential problems, define a strategy to prevent its occurrence, and monitor its behavior |
| Configuration Management | Establish/maintain integrity of product using identification, control, status accounting, and auditing practices |
| Process and Product Quality Assurance | Provide objective insight into compliance and effectiveness of processes and work products |
| Measurement and Analysis | Develop and sustain measurements used to support management reporting and defined objectives |
| Decision Analysis and Resolution | To analyze decisions using a formal process with an established criteria to evaluate alternatives |
| Technical Solution | Select, design, and implement solutions to requirements |
| Product Integration | To assemble the components, ensure as integrated works as intended, and deliver the product |
| Verification | Verify products meet specified requirements, identify defects, and remove defects prior to execution of task |
| Validation | Demonstrate that a product or components satisfy it intended use |
| Integrated Project Management | Establish/manage the project, relevant stakeholders according to an integrated, defined and tailored process |
| Supplier Agreement Management | Manage the acquisition of products and services from suppliers. |