

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**NY CY1603 Maintenance Batch 2**

Monika Augustyniak

23-Jun-2016

Revision 1.0

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 22-Apr-2016 | Summary Review 1 |
| 2 | 11-May-2016 | Summary Review 2 |
| 3 | 13-Jun-2016 | Draft CAPA Report – Peer Review |
| 4 | 14-Jun-2016 | Draft CAPA Report |
| 5 | 23-Jun-2016 | THE FINAL CAPA Report – Peer Review |
| 6 |  |  |

**Project Information:**

Customer Name: New York Lottery

Batch Name: NY CY1603 Maintenance Batch 2

SAP ID: NY23557

Location: ATC

Go Live date: 06-Jun-2016

**Project Stakeholders:**

Regional Lead: John Quigley

Program Manager: Damion Ferraro

Software Project Manager: Beki Mason-Corwin

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:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **NY1603 Maintenance (Batch 2)** | **% Complete** | **Duration** | **Start** | **Finish** |
| Scoping | **100%** | **5 days** | **Mon 2/15/16** | **Fri 2/19/16** |
| Requirements | 100% | 23 days | Mon 2/22/16 | Wed 3/23/16 |
| NYL SRS Approval | 100% | 10 days | Thu 3/24/16 | Wed 4/6/16 |
| Design | 100% | 10 days | Thu 3/24/16 | Wed 4/6/16 |
| Development | 100% | 20 days | Mon 3/14/16 | Fri 4/8/16 |
| Integration | 100% | 5 days | Mon 4/4/16 | Fri 4/8/16 |
| Site Test | 100% | 30 days | Mon 4/11/16 | Fri 5/20/16 |
| CAT | 75% | 20 days | Mon 5/2/16 | Fri 5/27/16 |
| Lockdown | 0% | 5 days | Mon 5/30/16 | Fri 6/3/16 |
| **Install** | **0%** | **0 days** | **Mon 6/6/16** | **Mon 6/6/16** |

**Scope:**

This review is for the NY CY1603 Maintenance Batch 2. 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:

|  |  |
| --- | --- |
| **Finding:**  Product Integration (PI) | **Detail:**   1. Unable to verify the approval for Production PRR as referenced in SPP. MAU 23-Jun-2016: Verified. It is resolved now. Production PRR approval documented in Clarity on 17-Jun. |
| **Management Response:**   |  | | --- | | * *Need to verify with Kristen the voting email was done.* * *In future batches the SPP will define the release process to CAT as “Customer will approve at Customer CAT Readiness via e-mail”; AND release to production as, “RFC will be evidence of approval conducted in Go-Live”* | |
| **Corrective Action/Preventative Action**  *These will be noted as Preventative actions and monitored on future batches.* |

|  |  |
| --- | --- |
| **Finding:**  Project Monitoring and Control (PMC) | **Detail:**   1. Not all Action Items have been closed out; however the project went live on 06-Jun.   **OBSERVATION**   1. Lesson Learned Mtg not identified yet. The project went live on 06-Jun. LL Mtg scheduled on 17-Jun (info from PM). It will be verified on 20-Jun during the final CAPA completion. MAU 23-Jun-2016: Lesson Learned Meeting Minutes documented in Clarity on 17-Jun. No issue. |
| **Management Response:**   |  | | --- | | *- 17-Jun no actions items in open status*  MAU 23-Jun-2016: All Action Items with ‘Completed’ status should be changed to ‘Closed’ status. | |
| **Corrective Action/Preventative Action**  *These will be noted as Corrective actions and monitored on future batches.* |

|  |  |
| --- | --- |
| **Finding:**  Project Planning (PP) | **Detail:**   1. No evidence of PSS approved. |
| **Management Response:**   |  | | --- | | * *Sent two requests 3/3 and 3/15* * *In the future we will submit the SRS and PSS to NYL for formal approval at the same time.* | |
| **Corrective Action/Preventative Action**  *These will be noted as Corrective actions and monitored on future batches.* |

|  |  |
| --- | --- |
| **Finding:**  Verification (VER) | **Detail:**   1. Unable to verify Installation Plan; however the project went live on 06-Jun and Peer Review is documented in PRMS. |
| **Management Response:**   |  | | --- | | * *Install plan inspection occurred 03-Jun. Inspection created in PRM 09-Jun.* * *Will try to schedule install inspection at least two days prior to install to allow for voting approval prior to install.*   MAU 23-Jun-2016: Install Plan inspection is ok. There is a finding noted for no Install Plan as a work product documented in Clarity. The Install Plan has been uploaded into Clarity on 17-Jun. It is resolved. | |
| **Corrective Action/Preventative Action**  *These will be noted as Preventative actions and monitored on future batches.* |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| PI | SG3 | 3.4 | Unable to verify the approval for Production PRR as referenced in SPP. MAU 23-Jun-2016: Verified. It is resolved now. Production PRR approval documented in Clarity on 17-Jun. Late work product documented. | LI |
| PMC | SG2 | 2.1 | Not all Action Items have been closed out; however the project went live on 06-Jun. All 'completed' AIs must be closed out too. NOT RESOLVED | PI |
| PP | SG1 | 1.4 | No evidence of PSS approved. NOT RESOLVED | PI |
| VER | SG2 | 2.2 | Unable to verify Installation Plan; however the project went live on 06-Jun and Peer Review is documented in PRMS. => MAU 23-Jun-2016: Installation Plan uploaded into Clarity on 17-Jun. Late work product documented. | LI |

**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. |