

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

CY1504 February Batch

Luis Mario Cancino Garcia

4-April-2016

Revision 1.2

**Review History**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 3-Nov-2015 | Summary Review 1 |
| 2 | 10-Dec-2015 | Summary Review 2 |
| 3 | 14-Jan-2016 | Summary Review 3 |
| 4 | 29-Jan-2016 | Revised Summary Review 3 |
| 5 | 4-Mar-2016 | Draft CAPA |
| 6 | 25-Mar-2016 | Response to Draft CAPA |
| 7 | 11-April-2016 | Final CAPA |

**Project Information:**

Customer Name: California State Lottery

SAP ID: CA21465

GO Live: 4.3.16

Location: ATC

**Project Stakeholders:**

Regional Lead: Andy Haley

Program Manager: Jay Lance

Project Manager: Jenne Langford

Software Project Manager: Amy Price

Compliance Manager: Karen Robertson

Standards Compliance Lead: Luis Mario Cancino Garcia

## 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:**

|  |  |  |
| --- | --- | --- |
| **Phase** | **Start** | **End** |
| Scope Development | Mon 8/17/15 | Fri 8/28/15 |
| Scope Review and Sign-off | Mon 8/31/15 | Fri 9/25/15 |
| SRS Development | Mon 9/28/15 | Fri 10/16/15 |
| SRS Review and Sign-off | Mon 10/19/15 | Fri 10/30/15 |
| Software Design | Mon 10/26/15 | Fri 10/30/15 |
| Software Development | Mon 11/2/15 | Fri 11/27/15 |
| Integration | Mon 11/30/15 | Fri 12/4/15 |
| QA Testing | Mon 12/7/15 | Fri 1/8/16 |
| CAT | Mon 1/11/16 | Fri 2/19/16 |
| Install Preparation | Mon 2/22/16 | Fri 2/26/16 |
| **GO LIVE** | | 4/3/16 |

**Scope:**

This review is for the CY1504 February Batch**.** 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:**  Configuration Management | **Detail:**   * Could not find evidence customer approved of Release Notes |
| **Management Response:**   |  | | --- | | See updated SPP v1.3 per CR 21. Old CA template has been updated. | |
| **Corrective Action/Preventative Action**   * Resolution accepted. * Compliance verified accuracy and completeness of corrective action taken. |
| **Finding:**  Integrated Project Management | **Detail:**   * No results logged for integration test cases * Integration log incomplete. No activity recorded in the required fields listed below. * Build; Deployment; Integration * Build Label; Build Date; Performed By; Testing Dates and Notes |
| **Management Response:**   |  | | --- | | Integration Log has been updated – see Clarity -> Software -> Integration Log folder | |
| **Corrective Action/Preventative Action**  Resolution accepted. Compliance verified accuracy and completeness of corrective action taken. |
| **Finding:**  Validation | **Detail:**  Could not find evidence of a Summary System Test Report in accordance with the QA test plan v1.2 section 5.3 Reports**.** |
| **Management Response:**   |  | | --- | | – See QA > Summary Test Reports folder – checked into Clarity on 1/15/16 | |
| **Correction Taken**  Resolution accepted. Compliance verified accuracy and completeness of corrective action taken. |
| Risk Management | **Finding**  Project’s description of the risk schedule impact does not meet the intention of the Schedule Impact requirement.   * CA21465 - 6296 - Could be impacted * CA21465 – 6295 – Could be impacted |
| **Management Response:**   |  | | --- | | * See correction below | |
| **Correction**  This preliminary finding was initially identified in Summary 1 (Nov 3, 2015). The project has since updated the risk schedule impact and is now in compliance with expectations for identifying impact to risk schedule.   * CA21465 - 6296 - IPS Host items may not get released to QA on schedule * CA21465 – 6295 - Either QA will not have enough time for quality testing, or CAT will be delayed |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| CM | 1 | 1.3 | Could not find evidence customer approved of Release Notes | LI |
| PI | 1-3 | 1.1, 1.2, 1.3, 3.1, 3.2, 3.3 | No results logged for integration test cases; Integration log incomplete. | LI |
| VAL | 2 | 2.1 | Could not find evidence of a Summary System Test Report | LI |
| RSKM | 1 | 1.1 | Project’s description of the risk schedule impact does not meet the intention of the Schedule Impact requirement. | LI |

**Appendix**

**CMMI Process Areas and Definitions**

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