

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**CR CY15 Service Enhancements**

Monika Augustyniak

07-Jun-2016

Revision 1.3

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 19-Jan-2016 | Summary Report 1 |
| 2 | 19-Feb-2016 | Summary Report 2 |
| 3 | 14-Mar-2016 | Summary Report 3 |
| 4 | 29-April-2016 | The Draft CAPA Report |
| 5 | 11-May-2016 | The Draft CAPA Report – peer review |
| 6 | 16-May-2016 | THE FINAL CAPA – peer review based on PM response |
| 7 | 20-May-2016 | THE FINAL CAPA (revision 1.0) |
| 8 | 20-May-2016 | THE FINAL CAPA (revision 1.1) |
| 9 | 30-May-2016 | THE FINAL CAPA (revision 1.2) – SRS finding removed |
| 10 | 07-Jun-2016 | THE FINAL CAPA (revision 1.3) – Details of Finding table has been updated as agreed with Karen on 06-Jun-2016 |

**Overview of Appraisal:**

Customer Name: Costa Rica Lottery

Batch Name: CR CY15 Service Enhancements

SAP ID: CRI22488

Location: ATC

Go-Live date: 25-Apr-2016

**Project Stakeholders:**

Regional Lead: Chris Segura

Program Manager: Julio Zamora

Software Project Manager: Antonio Inocencio

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:**

|  |  |  |
| --- | --- | --- |
| **Task Name** | **Start** | **Finish** |
| Planning/ Specifications (SRS) | 02-Nov | 27-Nov |
| Design | 30-Nov | 25-Dec |
| Development | 28-Dec | 05-Feb |
| Integration | 08-Feb | 12-Feb |
| QA | 15-Feb | 03-Apr |
| CAT | 04-Apr | 23-Apr |
| Go Live | 25-Apr |  |

## Scope:

This review is for the CR CY15 Service Enhancement batch. The detail findings below are a result of the three 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. 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:**  **Please see individual responses in each section below** |
| **Corrective Action/Preventative Action**  *This will be completed by STC once management responses are completed* |

**Summary of Findings/Weaknesses:**

|  |  |
| --- | --- |
| **Process Area:**  Project Monitoring and Control (PMC) | **Detail:**   1. No evidence of Project Schedule in Clarity up-to-date. 2. No evidence of staff mtgs documented on April; however the project went live on 25-Apr. |
| **Management Response:**   |  | | --- | | 1. ***It should be noted that the project was entered in Clarity in early 2015 but did not actually begin until November 2015. The project schedule could not be updated in Clarity by the PM.*** 2. ***Decision was made to cease weekly staff meetings after 05-April so the team could address the CAT delays. All statuses were shared via e-mail after this point.*** | |
| **Corrective Action/Preventative Action**   * This finding will be included in the projects corrective and preventive action report.   + PM should have asked for administrative assistance, requested tailoring or escalated as an issue during the PSR if there was any problem with Project Schedule update in Clarity.   + Unable to verify a decision for no Staff Meeting after 05-April as per PM’s response above. No decision in decision log, nor included in the last Staff Mtg minutes as of April 4th. |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| CM | SG2 | 2.1 | No evidence of several CRs closed out; however the project went live on 25-Apr. MAU 07-Jun-2016: VERIFIED. CRs closed out in Clarity late. | LI |
| CM | SG3 | 3.2 | No evidence of CM Production Baseline; however the project went live on 25-Apr. MAU 07-Jun-2016: VERIFIED. CM Production Baseline documented in Clarity late (02-May). | LI |
| PI | SG3 | 3.4 | No evidence of Integration Log. - MAU 16-May: verified. Integration Log uploaded into Clarity late (15-May). | LI |
| PI | SG3 | 3.4 | No evidence of Integration Test results logged. MAU 16-May: verified. Integration Test results completed late (15-May). | LI |
| PI | SG3 | 3.1 | No evidence of CAT and Production Product Release Requests (PRR) with CCB approval as referenced in SDP (5.9.5) - MAU 16-May: verified. CAT and Production PRRs approvals have been uploaded into Clarity on 12-May. Late Work Product. | LI |
| PMC | SG1 | 1.6 | No evidence of Project Schedule in Clarity up-to-date. | PI |
| PMC | SG1 | 1.6 | No evidence of staff mtgs documented on April; however the project went live on 25-Apr. | PI |
| PMC | SG1 | 1.7 | No evidence of RL Mtg; however the project went live on 25-Apr. - MAU 16-May: verified. RL Mtg Minutes have been uploaded into Clarity on 12-May. Late Work Product. | LI |
| PP | SG1 | 1.4 | No evidence of Customer PSS approval by Signature sheet or email. PM and RL approvals documented in Clarity only. - MAU 20-May: verified. PSS Signature Sheet with Customer and ADM approvals uploaded to Clarity on 16-May. Late Work Product. | LI |
| PP | SG1 | 1.4 | No evidence of SDP approved. - MAU 16-May: verified. SDP approval has been documented in Clarity late (15-May). | LI |
| VAL | SG2 | 2.2 | No evidence of Installation Procedure; however there is a Peer Review Defect Log documented in Clarity. - MAU 16-May: verified. Installation Procedure has been uploaded into Clarity on 12-May. Late Work Product. | LI |
| VER | SG2 | 2.2 | No evidence of Installation Plan Peer Review documented in PRMS. Peer Review Defect Log uploaded in Clarity only. - MAU 16-May: verified. Installation Procedure Peer Review has been completed in PRMS on 13-May. Late Work Product. | 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. |

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* CR – Change Request
* PRR – Product Release Request
* RDL – Regional Lead
* SDD – Software Design Description
* SRS – Software Requirements Specification
* CA – Corrective Action
* PA – Preventative Action
* LI - Largely Implemented
* PI - Partially Implemented
* NI – Not Implemented
* OBV - Observation