

Standards Compliance

Corrective Action and Preventive Action

(CAPA)

Report for Services

**CZH CY16 GSM eTopup Vouchers**

Monika Augustyniak

27-Jul-2016

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| **Project Assessment History** | | | |
| **Review #** | **Date** | | **Review Name** |
| 1 | 25-May-2016 | | Compliance Summary Report 1 |
| 2 | 10-Jun-2016 | | Draft CAPA – initial version |
| 3 | 13-Jun-2016 | | Draft CAPA – sent to PM for review (no response from PM) |
| 4 | 17-Jun-2016 | | Draft CAPA – peer review 1 |
| 5 | 23-Jun-2016 | | Draft CAPA – peer review 2 |
| 6 | 30-Jun-2016 | | Draft CAPA |
| 7 | 07-Jul-2016 | | Draft CAPA – Management Response |
| 8 | 27-Jul-2016 | | THE FINAL CAPA |
| **Project Information** | | | |
| Customer Name | | Czech | |
| SAP ID | | CZH23242 | |
| Location | | Warsaw | |
| Go Live Date | | 05-Jun-2016 | |
| **Project Stakeholders** | | | |
| Regional Lead | | Jarek Dabrowski | |
| Program Manager | | Anna Bryc | |
| Project Manager | | Malgorzata Loniewska | |
| Compliance Manager | | Karen Robertson | |
| Standards Compliance Lead | | Monika Augustyniak | |

**Note:**

\*\*\* Failure to submit and complete a resolution will result in an assignment of an “NI” to the project’s Process and Product Quality Assurance (PPQA) obligation and will be escalated to the Compliance Manager and responsible Regional Lead. All resolutions must be completed no later than a week prior to Project Close-out.

\*\*\* The conformity assessment involves a sample of processes and products that show your project meets the requirements of the CMMI, NASPL, and organizational requirements. It is not expected that findings will provide a detailed listing of the implementation status of every model practice, goal achievement, or specific practice implementation.

**Project Risk Rating**

|  |  |
| --- | --- |
| **Overall Project Risk Rating** | **# 4** |

**Assessment Summary**

This section is intended to provide the team a high level understanding of the Findings, Observations, and Opportunities For Improvement (OFI).

|  |  |
| --- | --- |
| **Process Area** | **Findings, Observations, Opportunity For Improvement Summary** |
| Project Planning | Project did not follow planning process; missed planning events, missing planning documents and approvals |
| Integrated Project Management | Project did not have Integrated project schedule |
| Project Monitoring and Control | Project did not follow Project Monitoring process; missed milestone reviews, closure meetings |
| Risk Management | Project did not follow Risk Management process; no risk logged for the project |
| Requirements Management | Project did not follow Change Request Process and Requirement Management Process; did not used MPI tool |
| Requirements Development | Project did not follow Requirement Development Process; missed approvals |
| Technical Solution | Project did not follow Project Software Design process and Technical Solutions Development process; missed design and release notes documents |
| Product Integration | Project did not follow Product Integration Process; missed Installation project documentation |
| Verification | Project did not follow Peer Review Process; missed Peer Reviews and QA documents approvals, no PRMS tool used |
| Validation | Project did not have CAT readiness criteria satisfied; missed CAT testing documents and Customer approval. |
| Measurement and Analysis | Project satisfied the CMMI, NASPL and organizational requirements. No weaknesses |
| Configuration Management | Project did not follow Configuration Management (CM) process; no weekly managing of CM activities; missed CM Baselines for defined milestones |
| Process and Product Quality Assurance | Project satisfied the CMMI, NASPL and organizational requirements. No weaknesses |

**Note**: Organizational findings not depicted in the Summary above.

**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 Correction, Corrective Action, and/or Preventative Action will be assigned given based on the project management responses and the severity of the finding (s).

**Risk Rating Characterization**

The method used in the determination and the assignment of characterizations related to process area goals is detailed in table 1.0 Characterization of Process Areas. Each process area in the assessment scope will be given a Red, Yellow, Green, Blue or Grey characterization based on affirmations, direct-artifacts and indirect-artifacts, project progress, or waivers.

|  |  |  |
| --- | --- | --- |
| **Characterization** | **Rating** | **Description** |
| Not Implemented | 4 | One or more Process area(s) have been rated Not Implemented (NI)   * One or more key process (es)/practice was not implemented during the lifecycle of the project creating a significant risk to the project. * Insufficient artifact evidence was provided to satisfy one or more practice for the process area. |
| Partially  Implemented | 3 | One or more Process area(s) have been rated Partially Implemented (PI)   * One or more key process (es)/practice was partially implemented during the lifecycle of the project creating a risk to the project. * Inadequate artifact evidence to fully satisfy one or more practice for the process area. |
| Largely  Implemented | 2 | Majority of the Process area(s) have been rated Largely Implemented (LI)   * Most of the process areas are largely implemented during the lifecycle of the project, minor risks are identified. * Direct artifacts are present and judged to be sufficient with minor weaknesses are noted. |
| Fully Implemented | 1 | Majority of the Process area(s) have been rated Fully Implemented (FI)   * Process areas are Fully Implemented during the lifecycle of the project and no risks are identified. * Direct artifacts are present and judged to be adequate * No weaknesses are noted |
| Not Rated | NR | Process Area Not Rated (NR)   * Process Area has been waived in accordance with IGT Tailoring Guidelines |

Table 1.0 Characterization of Process Areas.

**Summary of Findings/Observations**

|  |  |
| --- | --- |
| **PP** | **Finding**   * No evidence of SDP. * Late approval of CMP Work Product * No evidence of PSS approved by ADM, RL and Customer. * No evidence of Kickoff Meeting. * Unable to verify CCB team defined. |
| **Management Response**   |  | | --- | | (Plans placed in Clarity, verbal approvals if otherwise not stated)   * No Training Plan needed due to experienced project team members assigned. * CMP: The document is in approved status in Clarity * PSS: The only document Czech client usually signs is SRA (Software Release Acceptation) document – after the go live. The projects’ scopes are being discussed with ADMs and Ops Manager during weekly meeting held every Wednesday. * Kickoff: It is a habit that no separate meetings are documented for Czech site. It is due to client decision to project scopes (RFSSs migrate from one project to another). * CCB team members list has NOT changed since the last several project/batches DTL, SPM and QA Lead represents CCB team. | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The SDP, the approval of PSS, Kickoff Mtg and CCB Team defined are mandatory |
| **IPM** | **Finding**   * Unable to verify Lesson Learned Mtg completed. Project Schedule, DRE, RL score, Review project deliverables sections are missing.      * **Observation** * The project should consider Tailoring Request for using different location for project documentation than Clarity and the use of different templates, meeting minutes and SDDs. |
| **Management Response**   |  | | --- | | (Schedule from Clarity is valid)   * Critical Path/Milestones are indicated in Clarity schedule. * It was conducted on Jun 9th. I will place it in Clarity   All WP moved to Clarity | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The completed Lesson Learned Mtg with all required sections is mandatory |
| **PMC** | **Finding**   * No evidence of all required sections included in Mtg Minutes. No evidence of Meeting agenda template used. * Unable to verify the status of planned project documentation (SDP, CMP, SDD, etc) monitored during weekly meetings. * No evidence of Development, Integration, System Test and CAT Milestone Reviews. * No evidence of Go Live Meeting. * No evidence of Change Request closed out however the project went live. |
| **Management Response**   |  | | --- | | (Due to lack of time teem focused on SW delivery, not on WPs)   * Templates: The tailoring request shall be opened on the site level * Due to permanent problems with ST10 project until 5 weeks after the go live, project team focused more on development and tests which are needed for proper delivers during that very tight schedule and lesser on daily documentation reviews/statuses. * Everything was discussed either on weekly, or daily meetings and agreed verbally as per above - there was no time to call such meeting separately. * CR: It has been closed now. | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The Tailoring Request should be considered for Czech future batches if necessary. If there is no approved Tailoring Request all required work product templates are mandatory.  The completed Weekly Team Mtg Minutes, Phase Milestone Review Meetings, Go Live Meeting and the status of all Change Requests changed to ‘closed’ are mandatory. |
| **RSKM** | **Finding**   * No weaknesses |
| **REQM** | **Finding**   * Unable to verify the project managing traceability of requirements by using MPI tool. * Unable to verify CRs monitored during weekly meetings and milestones. * Unable to verify Change Requests for requirements; however SRS has been updated several times (revision 1.0 - 1.7). |
| **Management Response:**   |  | | --- | | (For CR – if any - we are obligated to use Clarity) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  Using MPI tool is mandatory.  Change Request Management and monitoring by following to Change Request Process and Requirement Management Process are mandatory. |
| **RD** | **Finding**   * No evidence of SRS approved by PM, PgM, ADM and Customer. There is no decision posted nor Risk opened to internal approve. * Unable to verify CZH CY16 GSM project is using DOORS and MPI as Summary MPI report is blank. |
| **Management Response:**   |  | | --- | | (General TR shall be opened on Customer level. GENERAL RULE: In this specific Czech site SRS was never agreed and SIGNED by customer before the project development phase. Usually we run several batches in parallel and finalize the document in the middle of development | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The Tailoring Request should be considered for Czech future batches if necessary.  Using DOORS and MPI tools is mandatory.  PM, PgM, ADM and Customer approval of SRS is mandatory. |
| **TS** | **Finding**   * No evidence of project used the current template for SDDs. * Unable to verify Critical Code section completed for SDD Terminal/OLTP. * No evidence of SDD GWARE Host, GWARE PC, OLPM and LSH. * Unable to verify SDDs were approved. * Unable to verify Critical Computer Resources completed in SDDs GWARE Host, GWARE PC, Terminal, OLPM and LSH. * No evidence of Unit Test Description completed for Software Design Descriptions (SDDs). * No evidence of Unit Test results completed for Release Notes (RNs). * Unable to verify Release Notes (RNs) were approved. * No evidence of Release Notes (RNs) for Terminal, OLPM and LSH. |
| **Management Response:**   |  | | --- | | (We do not use templates in all cases. WP added to Clarity) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The Tailoring Request should be considered for Czech future batches for not using the current required templates.  The completed Software Design Descriptions (SDDs), Release Notes (RNs) and their approvals are mandatory. |
| **PI** | **Finding**   * Unable to verify Integration Test results logged. No evidence of “LOG” tab filled out. * No evidence of CAT and Production Product Release Request. * Late Installation Procedure Work Product; however not approved. |
| **Management Response:**   |  | | --- | | (such document is available in email – here this copy can be found in \\polnas1\sites\CZ\PROJECTS\2016\_e-TopUps Voucher\06\_Releases\ins list.msg) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The Integration Log, CAT and Production Product Release Requests (PRRs), and the approval of Installation Procedure are mandatory. |
| **VER** | **Finding**   * Late approval of QA Test Plan Work Product * No evidence of QA Test Procedures * No evidence of the final Summary Test Report   Peer Review   * The project did not conduct any peer reviews for any work products. |
| **Management Response:**   |  | | --- | | (Informal pier reviews conducted – no artifacts available, QA documents are available here: \\polnas1\sites\CZ\PROJECTS\2016\_e-TopUps Voucher\04\_QA) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The QA Test Procedures and the final Summary Test Report are mandatory. |
| **VAL** | **Finding**   * Unable to verify the project satisfies the readiness criteria to proceed to CAT. * No evidence of the final Summary Site Test and CAT Report. |
| **Management Response:**   |  | | --- | | (Due to the nature of the project only IGT batch delivery scope was presented to the Customer and not turned-on. There were many 3rd Parties software deliveries planned but not delivered – outside IGT) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The final Summary Site Test and CAT Report are mandatory. |
| **MA** | **Finding**   * No weaknesses |
| **CM** | **Finding**   * Unable to verify the project reports the status of Configuration Items during weekly meetings. * No evidence of Configuration management for the project work products and software deliverables |
| **Management Response:**   |  | | --- | | (due to the Czech site specifics of several patches ran in parallel CM, IE, and QA Lead job are being performed by the same engineer and due to the constant/simultaneous integration there is no weekly management of CM activities applicable) | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches.  The Tailoring Request should be considered for Czech future batches for not using the current required templates.  Following to Configuration Management for Work Products / Deliverables is mandatory. |
| **PPQA** | **Finding**   * No weaknesses |
| **DAR** | **Finding**   * Not rated |
| **SAM** | **Finding**   * Not rated |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **CAPA Report** | | | | |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| PP | SG1 | 2.7 | No evidence of SDP. | NI |
| PP | SG1 | 2.7 | ~~No evidence of Training Plan. (OT)~~ Not an issue |  |
| PP | SG1 | 2.7 | ~~No evidence of CMP approved.~~ **(CM)** Late CMP Work Product Approval. | LI |
| PP | SG1 | 1.1 | No evidence of PSS approved by ADM, RL and Customer. | LI |
| PP | SG1 | 3.3 | No evidence of Kickoff Meeting. | NI |
| PP | SG1 | 2.2 | Unable to verify CCB team defined. **(CM)** | NI |
| IPM | SG1 | 1.1 | **OBSERVATION:** The project should consider Tailoring Request for using different location for project documentation than Clarity and the use of different templates, meeting minutes and SDDs. | OBV |
| IPM | SG1 | 1.4 | ~~Critical Path in Milestone has not identified.~~ Late Milestones indicated in Clarity schedule | LI |
| IPM | SG1 | 1.4 | ~~Unable to verify Lesson Learned Mtg. The project went live on 05-Jun; however LL Mtg is not scheduled yet~~. Unable to verify Lesson Learned Mtg completed. Project Schedule, DRE, RL score, Review project deliverables sections are missing. | LI |
| PMC | SG1 | 1.2 | No evidence of all required sections included in Mtg Minutes. No evidence of Meeting agenda template used. | PI |
| PMC | SG1 | 1.4 | Unable to verify the status of planned project documentation (SDP, CMP, SDD, etc) monitored during weekly meetings. | PI |
| PMC | SG1 | 1.7 | No evidence of Development, Integration, System Test and CAT Milestone Reviews. | NI |
| PMC | SG1 | 1.7 | No evidence of Go Live Meeting. | NI |
| PMC | SG1 | 2.2 | No evidence of Change Request closed out however the project went live. (CM) | LI |
| RSKM | SG1 | 2.1 | **OBSERVATION:** No risks logged for the project at all. | OBV |
| REQM | SG1 | 1.4 | Unable to verify the project managing traceability of requirements by using MPI tool. | NI |
| REQM | SG1 | 1.3 | Unable to verify CRs monitored during weekly meetings and milestones. | LI |
| REQM | SG1 | 1.5 | Unable to verify Change Requests for requirements; however SRS has been updated several times (revision 1.0 - 1.7). | PI |
| RD | SG1 | 1.2 | No evidence of SRS approved by PM, PgM, ADM and Customer. There is no decision posted nor Risk opened to internal approve. | LI |
| RD | SG1 | 1.1 | Unable to verify CZH CY16 GSM project is using DOORS and MPI as Summary MPI report is blank. | NI |
| TS | SG1 | 2.1 | No evidence of project used the current template for SDDs. | PI |
| TS | SG1 | 2.1 | Unable to verify Critical Code section completed for SDD Terminal/OLTP. | PI |
| TS | SG1 | 2.1 | No evidence of SDD GWARE Host, GWARE PC, OLPM and LSH. | PI |
| TS | SG1 | 2.1 | Unable to verify SDDs approved. | PI |
| TS | SG1 | 2.1 | Unable to verify Critical Computer Resources completed in SDDs GWARE Host, GWARE PC, Terminal, OLPM and LSH. | PI |
| TS | SG1 | 3.1 | No evidence of Unit Test Description completed for Software Design Descriptions (SDDs). | PI |
| TS | SG1 | 3.1 | No evidence of Unit Test results completed for Release Notes (RNs). | PI |
| TS | SG1 | 3.1 | Unable to verify Release Notes (RNs) were approved. | PI |
| TS | SG1 | 3.1 | No evidence of Release Notes (RNs) for Terminal, OLPM and LSH. | PI |
| PI | SG1 | 1.1 | Unable to verify Integration Test results logged. No evidence of “LOG” tab filled out. | PI |
| PI | SG1 | 1.3 | No evidence of CAT and Production Product Release Request (CM). | NI |
| PI | SG1 | 3.4 | ~~No evidence of Installation Procedure.~~ Late Installation Procedure work product; however not approved. | LI |
| VER | SG1 | 2.1 | No evidence of the approval for QA Test Plan **(VAL)** | LI |
| VER | SG1 | 2.1 | No evidence of QA Test Procedures. **(VAL)** | NI |
| VER | SG1 | 2.1 | ~~Unable to verify Weekly Test Summary Reports as referenced in QA Test Plan.~~ **(VAL)** Not an issue |  |
| VER | SG1 | 2.1 | No evidence of the final Summary Test Report. | NI |
| VER | SG1 | 2.1 | The project did not conduct any peer reviews for any work products. | NI |
| VAL | SG1 | 2.2 | Unable to verify the project satisfies the readiness criteria to proceed to CAT. | NI |
| VAL | SG1 | 2.1 | No evidence of the final Summary Site Test and CAT Report. | NI |
| CM | SG1 | 3.1 | Unable to verify the project reports the status of Configuration Items during weekly meetings. | LI |
| CM | SG1 | 3.1 | No evidence of Configuration management for the project work products and software deliverables | NI |

**Appendix**

**CMMI Process Areas and Definitions**

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| --- | --- |
| **Process Area** | **Definition** |
| Requirements Development | Elicit, analyze, and establish customer, product, and component requirements |
| Requirements Management | 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 |
| Organizational Process Definition | Establish/maintain a usable set of process assets, standards, and rules and guidelines for teams |
| Organizational Process Focus | Plan, implement and deploy organizational process improvement based on process weaknesses and strengths |
| Organizational Training | Develop skills and knowledge of people so they can perform their roles effectively and efficiently |
| Supplier Agreement Management | Manage the acquisition of products and services from suppliers. |