

Standards Compliance

Corrective Action and Preventive Action

(CAPA)

Report for Services

**LUX CY16 Bulk Wagering**

Monika Augustyniak

28-Jul-2016

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| **Project Assessment History** | | | |
| **Review #** | **Date** | | **Review Name** |
| 1 | 11-May-2016 | | Compliance Summary Report 1 |
| 2 | 16-Jun-2016 | | Compliance Summary Report 2 |
| 3 | 30-Jun-2016 | | Draft CAPA – peer review |
| 4 | 30-Jun-2016 | | Draft CAPA |
| 5 | 28-Jul-2016 | | THE FINAL CAPA |
| **Project Information** | | | |
| Customer Name | | Luxemburg | |
| SAP ID | | LUX23418 | |
| Location | | Warsaw | |
| Go Live Date | | 026-Jun-2016 | |
| **Project Stakeholders** | | | |
| Regional Lead | | Jarek Dabrowski | |
| Program Manager | | Benoit Ducrot | |
| Project Manager | | Malgorzata Kobialko | |
| 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** | **# 3** |

**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; missing some planning project data |
| Integrated Project Management | Project satisfied the CMMI, NASPL and organizational requirements. No weaknesses. 2 observations noted only. |
| Project Monitoring and Control | Project did not follow Project Monitoring process; missed milestone reviews, closure meetings |
| Risk Management | Project satisfied the CMMI, NASPL and organizational requirements. No weaknesses |
| Requirements Management | Project satisfied the CMMI, NASPL and organizational requirements. No weaknesses |
| Requirements Development | Project did not follow Requirement Development Process; no requirement work product template used, nor RD Process Owner approval |
| Technical Solution | Project did not follow Project Software Design process and Technical Solutions Development process; missed design and critical code data |
| Product Integration | Project did not follow Product Integration Process; missed Integrated works as intended, no Installation document, no approval |
| Verification | Project did not follow Peer Review Process; missed Peer Reviews |
| Validation | Project did not follow Validation process; missed Site/CAT testing documents |
| Measurement and Analysis | Project did not follow Measurement and Analysis process; no measurements monitored to support project management during weekly meetings |
| 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.

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| --- | --- | --- |
| **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 SPP fully completed. Unable to verify Configuration Management Lead assignment, System Architectural Design, Software Coding, System Testing, Software Operational Support Environment |
| **Management Response**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **IPM** | **Finding**   * No weaknesses      * **Observation** * No evidence of the approved Tailoring Request for using SharePoint as a project repository. * No evidence of Lesson Learned. The project went live on 26-Jun. It will be verified during final CAPA. |
| |  | | --- | | **Management Response**  No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **PMC** | **Finding**   * Unable to verify Weekly Staff Meetings since mid of May; however the project went live on 26-Jun. * Unable to verify Development/Integration Phase Milestone Review. * No evidence of Go Live Meeting; however the project went live on 26-Jun. * No evidence of Change Request #1 closed out by changing the status to 'Closed' as the project went live. |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **RSKM** | **Finding**   * No weaknesses |
| **REQM** | **Finding**   * No weaknesses |
| **RD** | **Finding**   * No evidence of SRS (BRS) created as per process. The teams follows BRS document for requirements. It was not approved by RD Process Owner. |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **TS** | **Finding**   * Unable to verify ES BIS in HLD (functional document for all disciplines). * No evidence of Critical Code data included for ESTE. * Lack of Critical Computer Resources identified for HLD ESTE and ES BIS. |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **PI** | **Finding**   * No evidence of Integration Log. * No evidence of Installation Plan. |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **VER** | **Finding**   * No evidence of peer review activities monitored for completion during weekly mtgs. * Unable to verify Peer Review Management System (PRMS) tool used. * No evidence of any Peer Review documented in Clarity, PRMS nor SharePoint for the following work products:   + SRS (FRD)   + SDDs (HLD) ESTE and ES BIS   + Installation Plan |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **VAL** | **Finding**   * No evidence of Summary Site Test and CAT Report |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **MA** | **Finding**   * Unable to verify all project metrics reviewed during project status meetings |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **CM** | **Finding**   * Unable to verify the project reports the status of Configuration Items during weekly meetings. * No evidence of CM Development, Integration, SQA, CAT and Production baselines for defined milestones |
| **Management Response:**   |  | | --- | | No Management Response | |
| **Correction, Corrective Action (CA), and /or Preventive Action (PA)**  These findings will be included in the Preventive Action (PA) report for subsequent batches. |
| **PPQA** | **Finding**   * No weaknesses |
| **DAR** | **Finding**   * Not rated |
| **SAM** | **Finding**   * Not rated |

**Detail of Findings:**

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| --- | --- | --- | --- | --- |
| **CAPA Report** | | | | |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| PP | SG1 | 2.3 | No evidence of SPP fully completed. Unable to verify Configuration Management Lead assignment, System Architectural Design (6.1), Software Coding (6.2.1), System Testing (6.4), Software Operational Support Environment (7.4). | LI |
| IPM | SG1 | 1.1 | **OBSERVATION:** No evidence of the approved Tailoring Request for using SharePoint as a project repository. | OBV |
| IPM | SG1 | 1.7 | **OBSERVATION:** No evidence of Lesson Learned. The project went live on 26-Jun. It will be verified during final CAPA. | OBV |
| PMC | SG1 | 1.7 | Unable to verify Weekly Staff Meetings since mid of May; however the project went live on 26-Jun. | LI |
| PMC | SG1 | 1.7 | Unable to verify Development/Integration Phase Milestone Review. | LI |
| PMC | SG1 | 1.6 | No evidence of Go Live Meeting; however the project went live on 26-Jun. | NI |
| PMC | SG1 | 3.1 | No evidence of Change Request #1 closed out by changing the status to 'Closed' as the project went live. (CM 3.1) | LI |
| RD | SG1 | 1.2 | No evidence of SRS (BRS) created as per process. The teams follows BRS document for requirements. It was not approved by RD Process Owner. | PI |
| TS | SG1 | 2.1 | Unable to verify ES BIS in HLD (functional document for all disciplines). | PI |
| TS | SG1 | 2.1 | No evidence of Critical Code data included for ESTE. | PI |
| TS | SG1 | 2.1 | Lack of Critical Computer Resources identified for HLD ESTE and ES BIS. | NI |
| PI | SG1 | 1.1 | No evidence of Integration Log. | NI |
| PI | SG1 | 3.4 | No evidence of Installation Plan. | NI |
| VER | SG1 | 2.1 | No evidence of peer review activities monitored for completion during weekly mtgs. | NI |
| VER | SG1 | 2.1 | No evidence of any Peer Review documented in Clarity, PRMS nor SharePoint for the following work products: o SRS (FRD) o SDDs (HLD) ESTE and ES BIS o Installation Plan | LI |
| VAL | SG1 | 2.1 | No evidence of Summary Site Test and CAT Report. | NI |
| MA | SG1 | 1.1 | Unable to verify all project metrics reviewed during project status mtgs. | PI |
| CM | SG1 | 1.3 | No evidence of CM Development, Integration, SQA, CAT and Production baselines for defined milestones. There is no SBI nor Phase Milestone Review Meetings documented. | NI |
| CM | SG1 | 3.1 | Unable to verify the project reports the status of Configuration Items during weekly meetings. | 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. |