

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**NE CY1601 Lake Ogalla**

Monika Augustyniak/Luis Mario Garcia

25-July-2016

Revision 1.0

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 11-Mar-2016 | Summary Review 1 |
| 2 | 11-Apr-2016 | Summary Review 2 |
| 3 | 05-May-2016 | Summary Review 3 |
| 4 | 24-Jun-2016 | Draft CAPA – Peer Review |
| 5 | 25-July-2016 | Final Draft – Luis Mario Garcia |

Overview of Appraisal:

Customer Name: Nebraska Lottery

Project Name: NE CY1601 Lake Ogalla

Location: ATC

SAP ID: NE22679

Go Live: 18-Jun-2016

Project Stakeholders:

Regional Lead: Andy Haley

Program Manager: Ron Goodrich

Software Project Manager: Sanya Oudomphong

Compliance Manager: Karen Robertson

Standards Compliance Lead: Monika Augustyniak/Luis Mario Cancino Garcia

## 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 | Start | End |
| Planning/Reqs: | 1/11/2016 | 2/19/2016 |
| Analysis / Design: | 2/22/2016 | 3/4/2016 |
| Development: | 3/7/2016 | 3/18/2016 |
| Integration: | 3/21/2016 | 3/25/2016 |
| System Testing: | 3/28/2016 | 4/8/2016 |
| Site Testing: | 4/11/2016 | 4/22/2016 |
| CAT - BDC | 5/23/2016 | 5/27/2016 |
| CAT - PDC | 5/30/2016 | 6/04/2016 |
| LIVE: | 6/18/2016 |  |

**Scope:**

This review is for the NE CY1601 Lake Ogalla 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. 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:**  No evidence of CM Production Baseline |
| **Management Response:**   |  | | --- | | This is a firmware and hardware upgrade so BO does not a have a label. The upgrade is done on the system. However, there was an issue found and ESMS was needed in CAT phase that became dependency that the team was no aware. | |
| **Corrective Action/Preventative Action**  Project should consider submitting a tailoring request to better support the practices for VM and HW upgrades. The current integration/test process are intended to support enhancements and integration of disciplines. HW/VM upgrades should require a modification of expected processes |
| **Finding:**  Product Integration | **Detail:**  Integration Log is incomplete |
| **Management Response:**   |  | | --- | | This is a firmware and hardware upgrade.   * QA test lead verified integration of all new hardware and VM upgrades as required. * ESMS was required in CAT and project conducted integration activities but did not document the results using the integration log. | |
| **Corrective Action/Preventative Action**  Observation. Project agreed to submit a required tailoring request to manage integration of HW and firmware upgrades. |
| **Finding:**  Validation | **Detail:**  No evidence of Final QA Summary Report and no evidence of Final Site/CAT report |
| **Management Response:**   |  | | --- | | Overlapping projects therefore resource constraints and the reports was not produced | |
| **Corrective Action/Preventative Action**  See Configuration Management finding above for more details related to Corrective Action/Preventive Action |
| **Finding:**  Verification | **Detail:**   1. No evidence of Peer Review for the following work products    * QA Test Procedures |
| **Management Response:**   |  | | --- | | * QA Test Procedures, no defects found. Did not use PR log | |
| **Corrective Action/Preventative Action**  Peer review results must be submitted to the PRMS tool when no defects are found. This finding will be included in the subsequent batches preventive action report. |
| **Observation**  Supplier Agreement Management | **Observation**  Project used suppliers to fulfill hardware requirements for the project. |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Process Area** | **Goal** | **Practice** | **Description** | **Rating** |
| CM | SG1 | 3.1 | No evidence of CM Production Baseline. | LI |
| PI | SG1 | 1.1 | Integration Log is incomplete. | LI |
| VAL | SG1 | 2.1 | No evidence of Final QA Summary Report and Final Site/CAT report. | LI |
| VER | SG1 | 2.1 | No evidence of QA Test Procedure Peer Review | LI |
| SAM | SG1 | 1.1 | Project used suppliers to fulfill hardware requirements for the project. | Obs |

**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 | |