

Standards Compliance Appraisal for Services

Corrective Action/Preventative Action Report

**IN CY15 Hoosier Lotto/New Game**

Adam Bek/Luis Mario Cancino Garcia

2-June-2016

Revision 1.0

**Review History:**

|  |  |  |
| --- | --- | --- |
| **Review #** | **Date** | **Review Name** |
| 1 | 15-Mar-2016 | Summary Review 1 |
| 2 | 07-Apr-2016 | Summary Review 2 |
| 3 | 12-May-2016 | Draft CAPA |
| 4 | 2-June-2016 | Final CAPA – see Decision below for details |

**Project Information:**

* Customer Name: Indiana Lottery
* Batch Name: IN CY15 Hoosier Lotto/New Game
* SAP ID: IN22810
* GO Live: 24-Apr-2016
* Location: Austin

**Project Stakeholders:**

* Regional Lead: Chris Segura
* Program Manager: Chris Segura
* Software Project Manager: James Pierson
* Compliance Manager: Karen Robertson
* Standards Compliance Lead: Adam Bek/Luis Mario Cancino Garcia

**Decision**

PgM, Regional Lead, and Standards Compliance management have agreed to resolve the findings listed in the project’s findings listed for the Indiana program (CY1508 Maintenance Batch, CY1509 Fast Play Progressive, and CY15 Hoosier Lotto/New Game) CAPA report as part of a process improvement initiative. The intention of this initiative is to enable the StC lead to provide guidance in developing processes with minimal impact to project daily activities, and to ensure compliance to CMMI and Organizational project management requirements.

Progress review meeting with project and compliance management set for 6.13.16.

## 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** |
| **Lotto Enhancement or New Game** | **Mon 11/9/15** | **Sun 4/24/16** |
| Kick off | Tue 11/10/15 | Tue 11/10/15 |
| Design | Tue 12/15/15 | Mon 1/4/16 |
| Development | Tue 1/5/16 | Tue 2/16/16 |
| Integration | Tue 2/16/16 | Mon 2/25/16 |
| QA | Tue 2/26/16 | Mon 3/25/16 |
| CAT | Tue 3/28/16 | Mon 4/11/16 |
| Lock down | Tue 4/19/16 | Sun 4/24/16 |
| Live | Sun 4/24/16 | Sun 4/24/16 |

**Scope:**

This review is for the IN CY15 Hoosier Lotto/New Game. 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:**   * No evidence of Development, Integration, SQA baseline |
| **Management Response:**   |  | | --- | | Project will modify the existing SDP template to create its unique project planning activities such as milestone and corresponding baselines | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Integrated Project Management | **Detail:**   * No evidence of all release notes in Clarity. Release notes were included in Jira. * Tailoring request was not identified   **Observation:**   * New process allows projects to use a Wiki page type of Release Notes in lieu of a document stored in Clarity. Indiana uses the Wiki to manage release notes. |
| **Management Response:**   |  | | --- | | Project will define its SW Development lifecycle model, identify process gaps with organizational requirements, and submit tailoring request where applicable | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Project Integration | **Detail:**   * No evidence of CAT and Production PRR |
| **Management Response:**   |  | | --- | | Project will modify the existing SDP template to create its unique project planning activities such as product release request process and expected records. | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Project Monitoring and Control | **Detail:**   * Weekly meetings and Kickoff mtg not documented. * No evidence of Development, Integration, SQA, CAT readiness |
| **Management Response:**   |  | | --- | | Project has defined its SW Development lifecycle model, identify process gaps with organizational requirements, and will submit tailoring request to resolve issues with weekly/kick-off meeting artifacts and milestone activities | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Project Planning | **Detail:**   * No evidence of SPP * No evidence of PSS * No evidence of Full PAF * No evidence of Project Estimates |
| **Management Response:**   |  | | --- | | Project uses a combination of a business plan and RFSS request form to manage the allocation of requirements to batches.  Project is in the process of significantly revising it SDLC and will include these activities in its revised SPP. Project rationale used for estimation shall be defined in its SPP. | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Technical Solution | **Detail:**   * No evidence of all SDD's documented in Clarity – technical solution access in JIRA * No evidence of peer review for the documents listed below. * SDD ESTE, IPS/ESIPS, ESOLPM, Terminal, ESRS, and ESMM * RN ESTE, IPS/ESIPS, ESOLPM, Terminal, ESRS, and ESMM |
| **Management Response:**   |  | | --- | | Project will store records in Clarity for subsequent batches | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |
| **Finding:**  Verification | **Detail:**   * No evidence of QA test plan peer review |
| **Management Response:**   |  | | --- | | Project will begin to store all peer review results in the PRMS to show evidence of review and approval of requirements. | |
| **Corrective Action/Preventative Action**  Standards Compliance Lead, PgM, and RL have met to discuss the Indiana’s findings trends. The team agreed to conduct a Root Cause Analysis activities related to resolve finding trends and the findings listed in this document. |

**Detail of Findings:**

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **PA** | **SG** | **SP** | **Description** | **Rating** |
| CM | 1 | 1.1 | No evidence of Development, Integration, SQA baseline | NI |
| TS | 3 | 3.1 | No evidence of all RNs in Clarity. Release notes were included in Jira. | PI |
| CM | 1 | 1.3 | No evidence of CAT and Production PRR | PI |
| PMC | 1 | 1.2 | * Weekly meetings and Kickoff mtg not documented | NI |
| PMC | 1 | 1.7 | * No evidence of Development, Integration, SQA, CAT milestone readiness | NI |
| PP | 2 | 2.7 | * No evidence of SPP * No evidence of PSS * No evidence of Full PAF * No evidence of Project Estimates | NI |
| TS | 2 | 2.1 | No evidence of all SDD's documented in Clarity–technical solution access in JIRA | LI |
| TS | 2 | 2.1 | * No evidence of peer review for the documents listed below. * SDD ESTE, IPS/ESIPS, ESOLPM, Terminal, ESRS, and ESMM * RN ESTE, IPS/ESIPS, ESOLPM, Terminal, ESRS, and ESMM | LI |
| VER | 2 | 2.2 | * No evidence of QA test plan peer review | NI |

**Appendix**

**CMMI Process Areas and Definitions**

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

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| --- |
| **Abbreviations(ratings)** |
| LI-Largely Implemented |
| PI-Partially Implemented |
| NI-Not implemented |