Configuration Audit Checklist

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|  | Criteria | Yes / No |
| Sl. No. | 1. Configuration planning | |
| 1.1 | Is the Configuration plan documented? | Yes |
| 1.2 | Is the plan reviewed and approved? | Yes |
| 1.3 | Are roles and responsibilities identified? | Yes |
| 1.4 | Is the tool identified as per Configuration Management Plan? The identified tool has the features to establish baseline, check in and checkout, store and recover archive versions of CIs? | Yes |
| 1.5 | Are the CIs identified for the project? | Yes |
| 1.6 | Is the responsible person for CM identified? | Yes |
| 1.7 | Can changes to each CI be traced? | Yes |
| 1.8 | Has the branch and directory structure been created as specified in CMP? | Yes |
| 1.9 | Are team members following the Configuration Mgt. system and checking-out/checking-in the work items as evidenced by the work-item history? | Yes |
|  | 1. Configuration Control Board (CCB) | |
| 2.1 | Does the CCB exist for the project? | Yes |
| 2.2 | Are all the activities specified in the plan carried out by CCB? | Yes |
|  | 1. Requirements Traceability | |
| 3.1 | Are the targeted business requirements traceable to the deliverables? | Yes |
| 3.2 | Is each requirements covered by one or more test cases? | Yes |
| 3.3 | Have all the targeted CRs been closed? | Yes |
| 3.4 | Is each requirement covered by one or more test cases? | Yes |
| 3.5 | Have all defects corresponding to the deliverables closed? | Yes |
|  | 1. Change control mechanism | |
| 4.1 | Are Change Requests (CR) being logged using the Change Request template? | Yes |
| 4.2 | Has Impact Analysis been carried out and necessary approvals from CCB/SCM Lead is obtained before executing CR | Yes |
| 4.3 | Are the targeted CRs traceable to the deliverables? | Yes |
| 4.4 | Has the RTM been updated to reflect the CR’s? | Yes |
| 4.5 | Is each CR covered by one or more test cases? | Yes |
| 4.6 | Have all defects corresponding to the CRs closed? | Yes |
| 4.7 | Are regular backups taken and records maintained? | Yes |
| 4.8 | Is the recovery taken place according to the procedure defined in the plan? | Yes |
|  | 1. Configuration Audits | |
| 5.1 | Verify the access rights for the project folders against the plans. | Yes |
| 5.2 | Are the configuration audits taken place as per schedule? | Yes |
| 5.3 | Have the non-conformances observed during the previous audit been closed? | Yes |
| 5.4 | Are findings of previous Configuration Audit Closed? | Yes |

\* Configuration Audit Owner – Director / Project Manager / Senior Management / Project Lead