United States Agency for International Development

Project Management Office Quality Control Plan

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IBM

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1 Summary

The United States Agency for International Development (USAID) initiated the Program Management Office (PMO) to assist the USAID Business Transformation Executive Committee (BETC) with support in forecasting, planning, managing, and monitoring business transformation and information technology projects. The PMO provides strategic planning, capital planning, project management, system development life cycle development and management, quality management, change management, business process improvements, and risk management.

Managing quality consists of three basic processes: quality planning, quality assurance, and quality control. Quality planning is the process of identifying quality standards and determining how they will be satisfied. Quality assurance is the evaluation of performance on a regular basis to provide confidence that quality standards are being adhered. Quality control is the monitoring of results to determine if activities comply with standards and to take corrective action if necessary.

To assist USAID in achieving its program and project goals, a quality control program, under the direction of the PMO, establishes a framework for quality management which includes elements of quality planning, quality assurance, quality control. The PMO Quality Control Plan (QCP) addresses an Agency need to institutionalize a quality management program at a project and PMO level. Specifically, the PMO QCP establishes the policy for quality control for Business Transformation (BT) projects through the application of planning, monitoring, deliverable review, and reporting activities.

Specifically, the PMO QCP outlines the processes that are used to:

- Provide quality checkpoints for the review and approval of contract deliverables
- Institute and implement a refined delivery review team (DRT) process for the of contract deliverables
- Define a set of procedures, tools, and techniques to assist individual projects in the management of quality monitoring activities
- Monitor and report on the status of quality activities

Successful implementation of the PMO QCP is dependent on the following factors:

- Roles and responsibilities are identified and funded to perform the quality control process
- Individuals performing the role Project Quality Assurance (QA) Lead are trained in the processes identified in the PMO QCP
- The objective evaluation and report of quality issues is supported by BT project managers

The PMO QCP was developed using the methodologies of Institute of Electronics and Electrical Engineers (IEEE) Std 730-1998 for Quality Assurance Plans and the Capability Maturity Model Integration (CMMI) for Systems/Software Engineering v1.1.

2 Introduction

As stated previously, quality management is a process for objective evaluation into processes and work products through planning, quality assurance, control. As defined by IEEE Std 730-1998 for Quality Assurance Plans, PMBOK for Project Quality Management, and CMMI for Systems/Software Engineering v1.1 for Process and Product Quality Assurance, quality management is a best practice for planning, monitoring, and reviewing quality.

IEEE Std 730-1998 for Quality Assurance Plans states that a QA should perform the following activities:

- State how reviews and audits are to be accomplished
- Identify practices to be applied in the QA effort

- Describe the practices and procedures to be followed for the reporting, tracking, and resolution of corrective actions

PMBOK for Project Quality Management identifies the following processes for quality management:

- Quality Planning – identifying which quality standards are relevant to the project and determining how to satisfy them
- Quality Assurance – evaluating overall project performance on a regular basis to provide confidence that the project will satisfy the relevant quality standards
- Quality Control – monitoring specific project results to determine if they comply with relevant quality standards and identifying ways to eliminate causes of unsatisfactory performance

CMMI for Systems/Software Engineering v1.1 for at a Maturity Level 2 is broken into the following specific goals for a process and product quality assurance process:

- Objectively Evaluate Processes and Work Products
- Objectively Evaluate Work Products and Services (communicate noncompliance issues and establish records)

To manage project and PMO quality, the PMO QCP adopts the methodology and approach of IEEE, PMBOK, and CMMI for the development and implementation of a quality control program.

2.1 Background

Quality management supports the delivery of quality products and services. It is an integrated activity to monitor, measure, and report on the quality of processes and work products. Achievement of these objectives drives continual improvements. A quality control approach is therefore applied to establish uniform guidelines for monitoring, deliverable review, and reporting activities for BT projects.

The PMO QCP documents the disciplines, definitions, roles and responsibilities, procedures, and tools for the objective evaluation of processes and work products. More specifically, it addresses an Agency immediate need to provide insight into quality activities at the project and PMO level.

2.2 Purpose

The purpose of the PMO QCP is to provide Business Transformation (BT) projects and the PMO with a framework for the objective evaluation of processes and work products in accordance with PMO guidelines. The PMO QCP also describes the procedures and tools that are employed to execute the PMO quality control program. More specifically, the Office of Management and Budget guidelines state that “agencies shall have a basic standard of quality as a performance goal”.

2.3 Scope

The PMO QCP establishes the framework for the PMO quality control program. The PMO quality control program includes elements of quality planning, quality assurance, and quality control. The plan provides guidelines, procedures, and tools and sets the standards for BT project for monitoring, deliverable review, and reporting activities.

The specific goals of the PMO quality control program are:

- Define and implement quality guidelines, procedures, and tools
- Collect and report measurements for quality reviews
- Monitor project adherence to established guidelines and procedures
- Report of the status of quality activities

The PMO QCP serves as a starting point for the development and implementation of a quality control program for BT projects. Involvement at the enterprise level is not addressed. It is envisioned that the plan will be reviewed on an annual basis for the consideration of process improvements.

Within the guidelines of the PMO QCP, the PMO is treated as a project in the application of the quality control guidelines in this plan.

2.4 Assumptions

The following assumptions were made in the development of this plan:

- On an annual basis, BT projects will review and update their quality assurance plans to follow the procedures, guidelines, and standards established by the PMO quality control program
- On an annual basis, the PMO QA Lead will review USAID Office of Information Resource Management program standards, guidelines, and procedures and make recommendations for incorporation into the PMO QA program
- Projects are responsible for instituting a quality program at the project level
- The recording and tracking for Corrective Action Reports (CARs) is implemented using the existing issue management process
- The procedures, templates, and forms noted in the appendices and attachments will be managed and maintained as separate documents accessible from a common directory

2.5 References

The following documents were referenced in the development of the PMO QCP:

- FSI Quality Assurance Plan for FY 2003, Document Number: FSI-PHO-004-CP-063.000-F00-IBM, dated March 18, 2003
- Draft USAID Program Management Office Guidebook, version 1.0, dated November 8, 2003
- IEEE Standard 730-1998
- PMBOK for Project Management, dated 2000
- CMU/SEI-2002-TR-002 CMMI for Systems Engineering/Software Engineering version1.1, dated December 2001
- ADS 578 –Information Quality Guidelines, dated September 24, 2002

3 Roles and Responsibilities

Team members are responsible for understanding and delivering results in accordance with functional requirements. The success of the quality management process is dependent on each team member recognizing and accepting this responsibility. Specific roles and responsibilities are outlined in the following subsections.

3.1 Organization and Information Flow

The PMO QCP establishes the framework for a PMO quality control program. At the project level the PMO quality control program provides projects with procedures, templates, and forms that are to be implemented at the project quality control level. The PMO quality control program also provides BT projects with initial assistance for training and initiating the risk management process. At the PMO level, the PMO implements and executes the PMO quality control program as a project. Figure 1: PMO Quality Control Organization and Information Flow depicts the flow of information between teams within the PMO program.

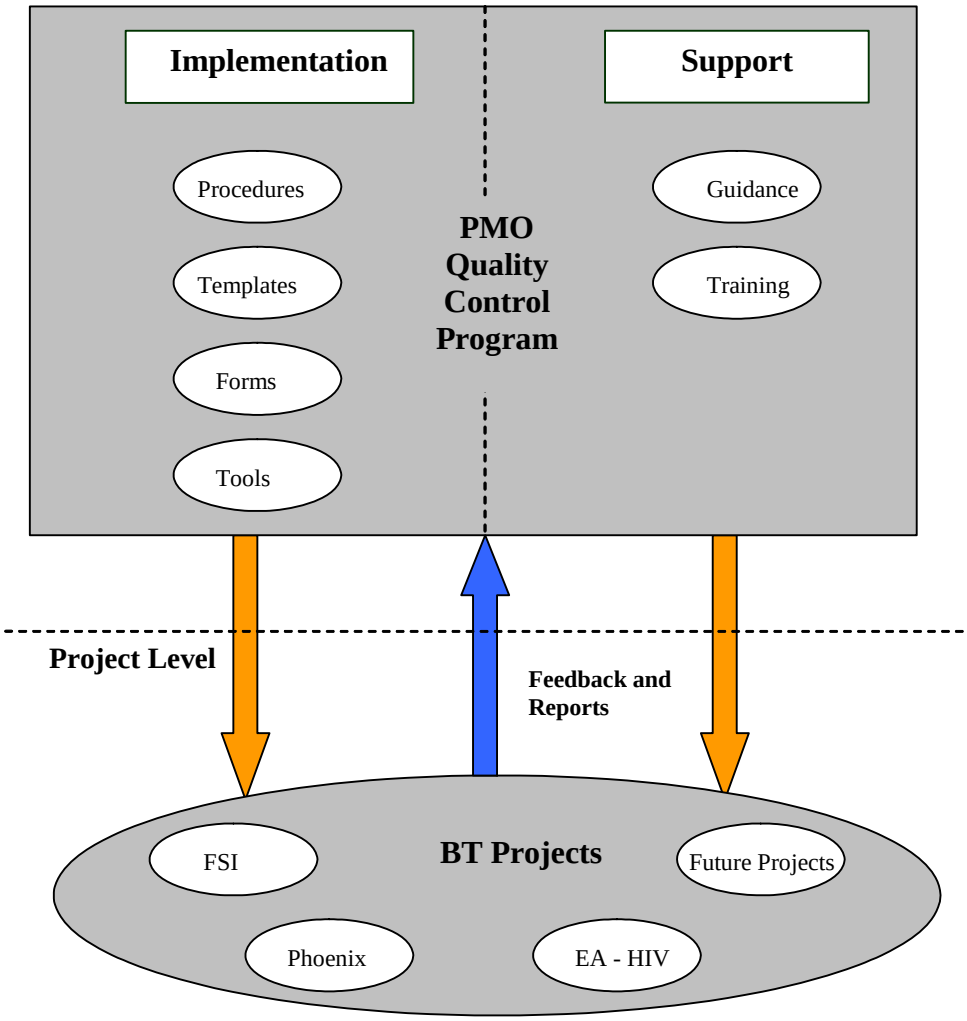


Figure 1: PMO Quality Control Organization and Information Flow

3.2 PMO QA Lead

The PMO QA Lead is responsible managing the framework of PMO quality control program for implementation at the project level. The PMO QA Lead is also responsible for the development and maintenance of the QA activities outlined in this plan.

Specific responsibilities are:

- Develop and maintain PMO QA procedures, templates, forms, guidelines, and tools
- Identify and implement project and PMO level quality control program process improvements
- Provide guidance to Project QA Leads in the implementation of project level quality control programs
- Act as a point of contact for the Project QA Leads

3.3 Project QA Lead

The Project QA Lead is responsible for the implementation of quality control program at the project level. The Project QA Lead is also responsible for providing objective insight that procedures and guidelines are being followed by projects as outlined in the PMO QCP.

Other responsibilities are:

- Develop and maintain project quality control procedures, templates, forms, guidelines, and tools consistent with PMO guidance
- Identify and implement project quality control process improvements
- Provide guidance to Team Leads in the implementation of project level quality control programs
- Create and maintain deliverable review schedules
- Act as a point of contact for the PMO QA Lead
- Provide updates on quality control status and initiatives to the PMO

3.4 BT Project Managers and PMO Managers

The Project/PMO Manager serves as the advocate for promoting QA activities at the project level. The Project/PMO Manager is kept appraised of QA activities on a recurring and periodic basis.

Specific responsibilities include:

- Support the initiatives of the PMO quality program
- Work with the Project/PMO QA Lead to resolve quality issues in a timely manner
- Make certain that corrective actions are addressed and tracked to closure

3.5 Project Team Members

Project team members are responsible for participating in QA activities related to their individual project areas. This includes participating in DRT meetings as required and supporting the quality control guidelines of the PMO QCP.

4 Define Quality Control Plan

The requirement to establish a project QCP is determined by the BTEC for BT projects. Refer to the USAID Program Management Office Guidebook for guidance on the development of a project QCP for BT projects.

5 Quality Control Activities

The PMO QCP contains mechanisms to evaluate adherence to established procedures and standards to measure the completeness of project deliverables. These mechanisms include a variety of reviews and processes to support the evaluation effort. Projects are at liberty to develop and implement additional procedures and standards as applicable at the individual project level.

5.1 Deliverable Reviews

Deliverable reviews provide an opportunity to evaluate work products for adherence to standards and identify necessary improvements. The deliverable review process also serves to validate adherence to functional requirements in the development of work product. The institutionalized quality standards for work products are identified in Attachment 2: Deliverable Review Checklist. Projects may impose additional standards to address particular project needs (e.g. required coding standards for documenting a software work product). At the project level, the Project QA Lead is then responsible for monitoring and tracking adherence to project level standards for work products. Deliverables, in both their Draft Final

and Final states, are required to follow the DRT process as documented in Appendix A: Deliverable Review Procedure.

5.1.1 Deliverable Review Process

Reviewers for deliverables convene at a DRT meeting with prepared review comments. Deficiencies or improvements are documented and returned to the author for incorporation. The deliverable in its completed form is then submitted to internal management for final review, and approval.

Refer to Appendix A: Deliverable Review Procedure for details on the deliverable reviews process.

5.1.2 Deliverable Review Team

DRT members are identified and assigned t review project deliverables. When DRT members are identified, they are advised of the review schedule for the deliverable so that, to the extent possible, they can arrange their schedules to be available for the review. If a DRT member cannot be in attendance for the review, they are expected to provide their input prior to the meeting.

A deliverable review process depends on the following:

- Examination of the work product prior to the review meeting
- Identification of defects, issues, and concerns
- Actively participating in DRT meetings as scheduled

The Team Lead has the authority to decide whether or not a formal DRT meeting is needed for a deliverable. As a guideline, if a deliverable has gone through one review cycle review with only minor updates, a second formal team review meeting may not be necessary. In this case, the process for the review of the deliverable remains the same. The only difference is that reviewer's comments are forwarded to the author by e-mail for incorporation.

5.1.3 Deliverable Review Schedule

The project team uses the integrated project schedule to determine when project deliverables are due to support the scheduling deliverable reviews. A deliverable schedule for Draft Final and Final work products is created based on baseline due dates for deliverables.

Required scheduled activities consist of the following:

- Distribute for review
- Conduct internal review
- Deliver to client for comment
- Deliver to client for sign-off

Individual project teams are responsible for creating and maintaining deliverable review schedules for their projects and determining review team composition. Deliverable review schedules are managed and maintained separately from the project's master project schedule.

Refer to Appendix A: Deliverable Review Procedure for details on creating and maintaining a deliverable review schedule.

5.2 Quality Monitoring

Quality monitoring activities are established to monitor and evaluate adherence to PMO level and project level procedures and standards. The technique used to accomplish this objective includes the planning and execution of quality evaluations.

The quality evaluation process includes the following:

- Monitor compliance with established procedures and standards
- Identify, document, report and track corrective actions
- Provide assistance and feedback to team members on quality evaluation activities

Quality evaluations are carried out for processes and work products. Process evaluations are conducted to monitor adherence to documented procedures. Work product evaluations are conducted to verify that the review of the work product follows the DRT process as outline in Appendix A: Deliverable Review Procedure.

5.2.1 Quality Evaluation Process

A quality evaluation is a quality review to assess compliance with documented procedures, guidelines, and standards, and functional requirements. The Project QA Lead conducts quality reviews for their project teams throughout the life cycle of the project. Quality evaluations are conducted for processes and work products.

Process quality evaluations assess compliance with established procedures and guidelines. As an example, if a team member distributes a contract deliverable to the client without a quality check by the Project QA Lead, as established by the PMO DRT process, a corrective action is documented as a CAR and assigned to the responsible person for resolution. Process quality evaluations emphasize that team members understand their responsibilities as they relate to quality objectives. Process quality evaluations also provide the ability to identify trends and initiate process improvement initiatives.

Work product evaluations assess compliance with established standards and functional requirements. As an example, if a project is required to follow certain IEEE standards in the development of a software work product, and these standards are not adhered to, a corrective action is documented as a CAR and assigned to the responsible person for resolution.

The process for quality evaluations consist of:

- Plan the quality evaluation
- Conduct the quality evaluation
- Report results through CARs
- Track open CARs to closure

The planning of quality evaluations considers the project milestone dates for contract deliverables as a means to assess adherence to the quality program. At a minimum, the Project/PMO QA Lead is required to perform at least **1** quality evaluation per month.

Refer to Appendix C: Correction Action Identification and Tracking Procedure for more details on the process for planning, conducting and reporting quality evaluations.

5.2.2 Corrective Action Tracking and Reporting

A CAR is the reporting tool to measure and assess adherence to establish procedures and standards. At an enterprise level, this measurement is the adherence to the DRT process as outlined in the PMO QCP. At the project level, this measurement is the adherence to standards implemented by individual projects. CARs are therefore used as the vehicle to report and track deviations from established program and project quality guidelines.

At the enterprise level and individual project levels, a CAR will be identified when there is evidence of one or more of the following:

- A deviation from a documented plan, process, or procedure
- A deviation from applicable standards

At a minimum, a CAR will include the following:

- Corrective action tracking number
- Corrective action title
- Correction action description
- Proposed resolution
- Final resolution
- Responsible individual for correction
- Status (Open, Closed, Cancelled)
- Status Date
- Priority (High, Medium, Low)

CARs are tracked to closure by the Project QA Lead and included as part of quality summary evaluation findings. CARs are monitored and tracked using the existing project level issue database. They are recorded and classified in the "Quality Assurance" category for issue items.

Refer to Appendix B: Quality Evaluation Procedure for more details on the process for identifying, recording and tracking CARs.

5.2.3 Identification of Issues and Risks

As a result of quality control activities, issues or risks may be identified. In the PMO QA Lead and Project QA roles, existing implemented procedures will be used for identifying, tracking and resolving issues and risks related to quality control activities. If an identified CAR becomes a risk or an issue, the CAR will be closed, transferred, and track in the appropriate issue or risk database.

5.3 Monthly Reporting

QA status reporting serves as a checkpoint to status adherence to stated guidelines. QA status reporting also provides the opportunity to identify trends, quality issues, and potential areas for improvement. On monthly basis, the Project QA Lead and the PMO QA Lead reports the status of QA activities using the following reporting components:

- **Deliverables Status** – tracks scheduled and actual completion dates for Draft Final and Final documents for the reporting period. Deviations from scheduled dates require an explanation.
- **Deliverable Review Meeting Summary** – summarizes the DRT team meeting held during the reporting period. Identifies deliverable reviewed, date held, and number of participants.
- **Quality Evaluations Summary** – summarizes the quality evaluation activities held during the reporting period. Identifies the type of quality evaluations conducted (process vs work product), number of CARs open for the period, number of CARs closed for the period, and total number of CARs opened.
- **Issues and Risks** – documents issues/risks identified as a result of the execution of quality control activities. Identified issues/risk are summarized in the quality status report, but are formally recorded in the PMO issues and risks tracking tools.

The template for QA status reporting is outlined in Appendix D: Sample Quality Assurance Status Report.

Appendix A: Deliverable Review Procedure

1 Purpose

The objective of a deliverable review is to identify potential corrective actions that will lead to removal of defects as early as possible in the development cycle of a work product. Deliverable reviews contribute to maintaining a high level of work product quality. It is the opportunity for reviewers to convene, with predetermined comments or suggestions, and perform a quality review for a work product. A deliverable review provides a quality check for the adhered to functional requirements, both technical and non-technical. USAID contract deliverables are subject to the deliverable review process.

2 Roles and Responsibilities

The following represents the roles and responsibilities required to support the execution of the deliverable review process:

Author

The author is the owner of the deliverable to be reviewed. The author confers with the Team Lead to develop a review schedule for the deliverable. During the review meeting, the author walks reviewers through the document and clarifies questions about the deliverable. The author notes agreed changes to be made for the deliverable. The author completes a *DRT Meeting Summary* in Attachment 3 at the conclusion of the review meeting and posts it to the team common directory for project DRT meetings.

Deliverable Review Team (DRT)

DRT members are selected based on their knowledge or stated interest with the deliverable. Each DRT member independently reviews the deliverable notes comments or suggestions for improvement. When convened for the review meeting, the DRT members will discuss and review their recommendation to correct discrepancies and/or to improve the quality of the deliverable. DRT members complete the *DRT Comments Summary Form* in Attachment 4 to document their substantive comments and review them at the DRT. The *DRT Comments Summary* document is provided to the Author along with the redline version of the deliverable.

Team Lead

The Team Lead assesses that a deliverable is ready for review. The Team Lead has the opportunity to participate in the review of deliverables as a DRT member.

QA Lead

The QA Lead completes the *Deliverable Review Checklist* in Attachment 2 to validate that the work product is in compliance with documented standards. The QA Lead is responsible for coordinating and maintaining a deliverable schedule for assigned deliverables for the project. The QA Lead has the opportunity to participate in the review of deliverables as a DRT member.

Note: Use of the title “QA Lead” within this procedure assumes that the role of the Project QA Lead and the PMO QA Lead are identical but are performed at the corresponding project or PMO level.

Contractor Management

Contractor management is responsible for the internal (contractor) final review and approval of deliverables. Contractor management is considered to be the individuals with internal team responsibility for the final approval of deliverables before they are forwarded to the client. Unapproved deliverables are returned to the author for update and correction.

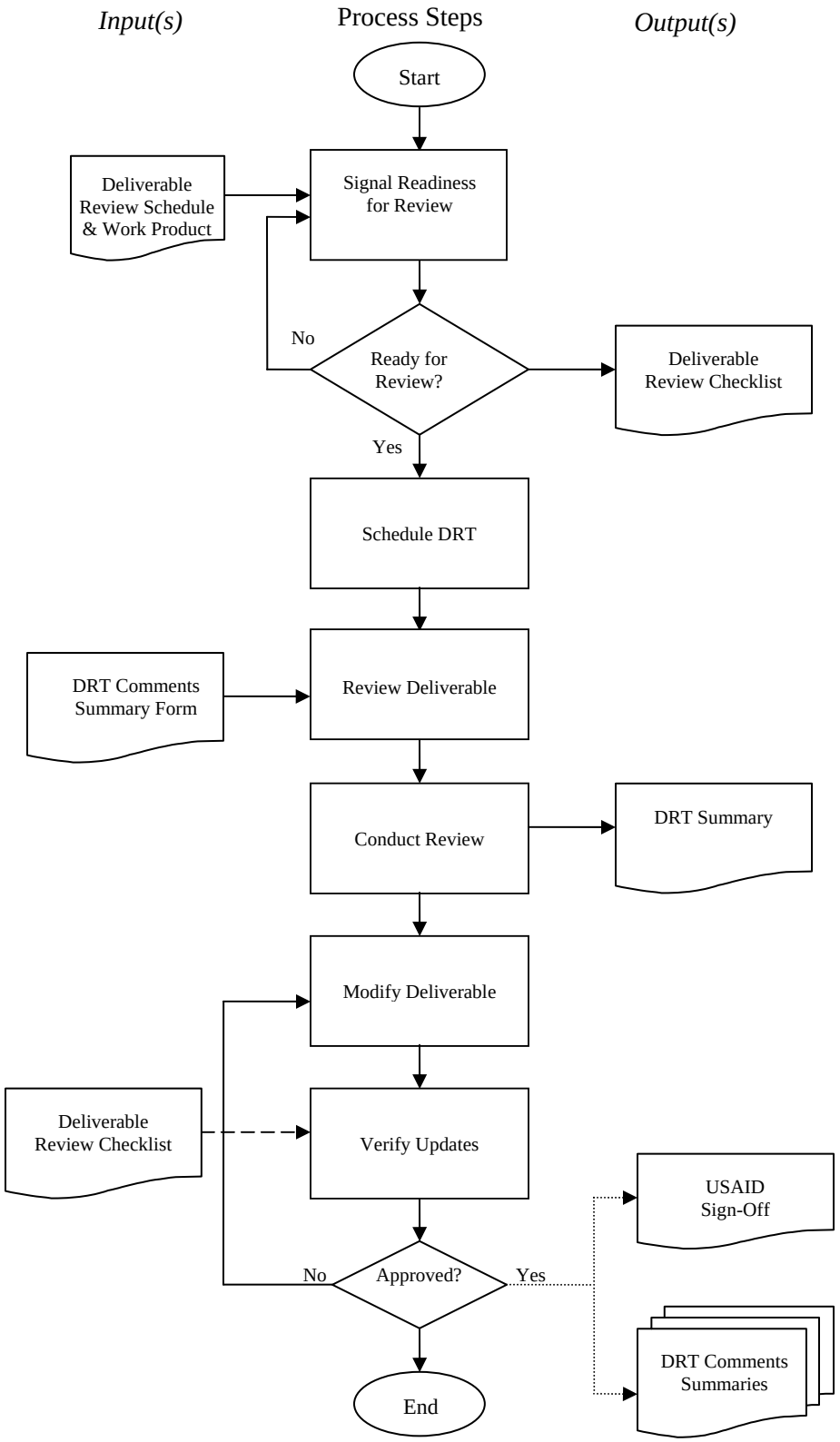
3 Prerequisites

The Deliverable Review Schedule for a work product is the prerequisite for executing this procedure.

4 Procedure Flow

The following diagram represents the process flow for the deliverable review process:

Figure A-1: Deliverable Review Process



5 Procedure Steps

The following table documents the steps for conducting the deliverable review process:

Step	Description	Responsibility
Ongoing	**Deliverable Review Schedule** • Review project master milestone schedule • Create a Deliverable Review Schedule based on baseline due dates using the *Deliverable Review Schedule* in Attachment 1. • Develop review dates for the following activities: - Distribute for review - Conduct internal review - Deliver to client for comment (may not be required for some documents) - Deliver to client for sign-off (this is the contract milestone delivery date) *Note: The Deliverable Review Schedule follows the duration guidelines outlined below to allow adequate time for each review activity.*	QA Lead
1.	**Signal Readiness for Review** • The author signifies that the deliverable is ready for review by sending an e-mail the Project QA Lead requesting a DRT with the following information: o Software copy of the deliverable o Type of DRT requested (via meeting or e-mail) o List of DRT participants o Requested duration for DRT (i.e., 1 hour, 1 ½ hrs) *Note: The deliverable is assumed to have gone through internal team review to validate that contractual requirements have been addressed and complies with the Deliverable Review Checklist in Attachment 2.*	Author
2.	**Schedule DRT** • Send email scheduling DRT to Standing and Contributing DRT members *Note: Allow DRT members 2-3 days for deliverable review based on deliverable size.*	QA Lead
3.	**Review Deliverable** • Review deliverable **prior** to DRT • Provide redline comments and completed *DRT Comments Summary Form* in Attachment 4 • Forward completed DRT Comment Summary to author at	DRT Members

	the DRT or via email if DRT Member cannot attend the DRT in-person or if email DRT.	
4.	**Conduct Review** • Complete *DRT Meeting Summary* in Attachment 3 and provide to the QA Lead on completion of the DRT. • Review deliverable and document verbal comments • Collect DRT member hardcopy comments and completed *"DRT Comments Summary"* Duration: Allow for **1** business day *Note: The QA Lead documents the review meeting by completing the DRT Meeting Summary template in Attachment 3 and posting it in the appropriate project directory for DRT Reviews.*	Author
5.	**Modify Deliverable** • Update deliverable based on DRT comments (Note: comments are either redlines or forwarded by e-mail) • Forward updated deliverable to QA Lead for review/approval with completed *DRT Comment Summary* forms Duration: Allow for at least **3** business days	Author
6.	**Verify Updates** • Validate incorporation of DRT comments by referencing the *DRT Comments Summary* in Attachment 4 and verify document complies with the *Deliverable Review Checklist* in Attachment 2. • If comments have not been incorporated, return to author for correction	Team Lead
	• With approval from Team Lead, forward Final deliverable and completed *Deliverable Review Approval Form*, in Attachment 5, to USAID for final review and sign-off Duration: Allow for **1** business day.	QA Lead
7.	**USAID Sign-Off** • Perform final review and forward completed Sign-off sheet to QA Lead for forwarding to deliverable author and Configuration Management Lead • If deliverable is not approved, return the deliverable to the QA Lead for forwarding to deliverable author, with reason(s) for disapproval Duration: Allow for at least **3** business days	USAID

6 Procedure Output

The output produced by the execution of this procedure consists of the following:

- Completed DRT Meeting Summary Template
- Completed Deliverable Review Checklist
- Completed DRT Comments Summary Document(s)

Attachment 1: Deliverable Review Schedule

Deliverable Review Schedule

Deliverable Description	Distribute for Internal Review	Conduct Internal Review	*Deliver to Client for Comment	Deliver to Client for Sign-off

*This activity may not be required for some deliverables

Attachment 2: Deliverable Review Checklist

Deliverable Review Checklist

Document Name: _____ Project Name: _____

Reviewer: _____ Review Date: _____ Review Hours: _____

Verify that the following standards have been addressed by placing a √ to signify that the item as been validated:

- ☐ The document follows the format of the standard approved template.
- ☐ The document contains the Document Control Number on the Cover Page and in the Header.
- ☐ The document version is accurate and consistent throughout the document.
- ☐ Titles and page numbers are correctly referenced in the Table of Contents.
- ☐ Figures and tables are correctly referenced in the Table of Contents.
- ☐ Figures and tables follow the standard numbering convention.
- ☐ List items are appropriately numbered or bulleted.
- ☐ Acronyms are defined when initially used and are found within the Acronym List.
- ☐ The document uses proper grammar as intended for the target audience.

Other comments or suggestions for improvement:

Attachment 3: DRT Meeting Summary

DRT Meeting Summary

Document Name: _____ Project: _____

Review Date: _____ Start Time: _____ Finish Time: _____

	Name	*Role	Team	Review Hours
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				

*Role Legend: A = Author, R = Reviewer

Action Items: _____

Attachment 4: DRT Comment Summary Form

Document Name/Date/Version:

Reviewer Name:

DRT Comment/Action item	Comment Incorporated in Document
	If yes: include deliverable section where comment is incorporated If No: explain reason for not incorporating

Attachment 5: Deliverable Review Approval Form

United States Agency for

International Development

Deliverable Name:
Document Control Number:

The following have reviewed and approved this deliverable:

☐ [Name of QA Lead], Quality Assurance Lead

☐ [Name of CTO], CTO

The following documents are attached:

1. Final Deliverable

I, [Name of CTO], accept this document on behalf of USAID as a final deliverable and agree that it meets the requirements of the Agency. I approve the document contained here in.

Date of Delivery:

Signature:
Date:

Appendix B: Quality Evaluation Procedure

1 Purpose

The objective of a quality evaluation is to provide objective independent evaluations for processes and work products. In particular, quality evaluations provide a means to assess compliance with documented procedures, guidelines, and standards, and functional requirements. The schedule for quality evaluations is managed and maintained separately as is based on project milestone dates to access adherences to procedures, guidelines, standards, and functional requirements for processes and work products.

2 Roles and Responsibilities

The following represents the roles and responsibilities required to support the execution of the quality evaluation process:

QA Lead

The QA Lead is responsible for scheduling and conducting quality evaluations. The QA Lead executes the Corrective Action Identification and Tracking procedure to document and tracking corrective actions identified as a result of quality evaluations. Quality evaluations are also performed by the QA Lead to close out previously opened corrective actions.

In conducting quality evaluations, the QA Lead:

- Observes project activities
- Examines process outputs
- Interviews team members to assess compliance

The QA Lead communicates findings to responsible team members and suggests a resolution to close corrective actions.

Note: Use of the title “QA Lead” within this procedure assumes that the role of the Project QA Lead and the PMO QA Lead are identical but are performed at the corresponding project or PMO level.

Project/PMO Managers

Work with the QA Lead to review quality evaluations and resolve quality related issues.

Team Members

Team members are responsible for support quality evaluation efforts by providing requested artifacts to the Project QA Lead, and by participating in interviews

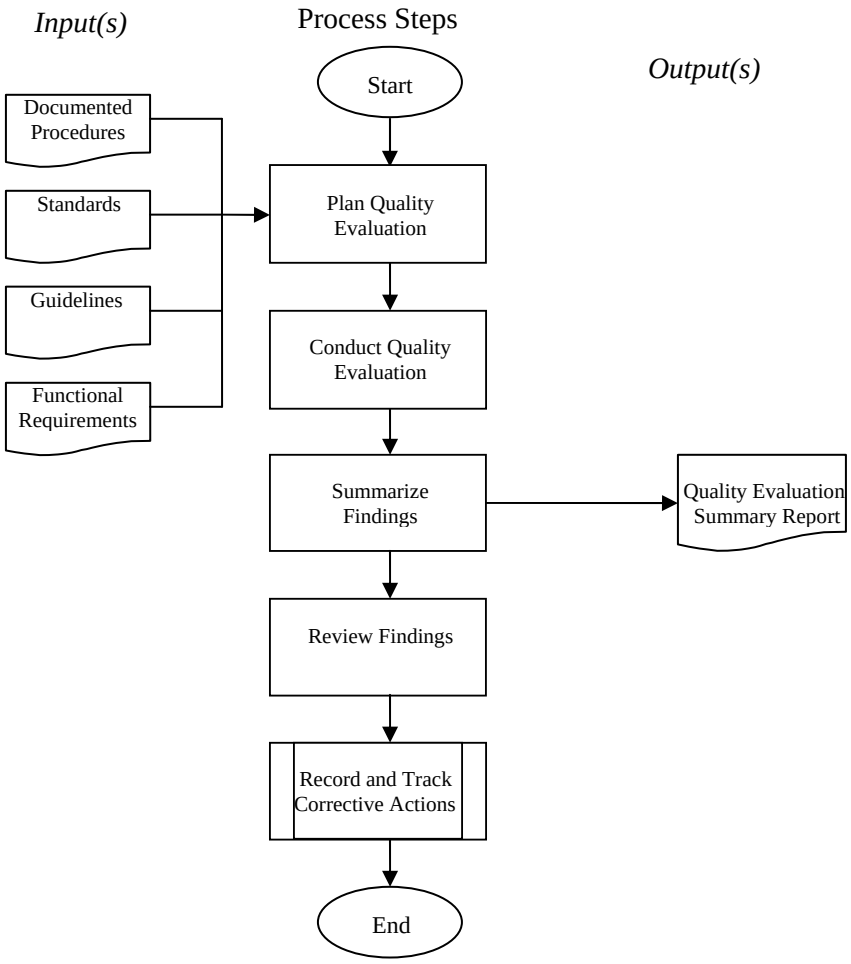
3 Prerequisites

The quality evaluation procedure is evoked based on project milestone dates. However, the Project QA Lead may initiate this procedure at any point during the project life cycle, as necessary. Documented procedures, standards guidelines and functional requirements, are the primary inputs to the process audit.

4 Procedure Flow

The following diagram represents the process flow for the quality evaluation process:

Figure B-1: Quality Evaluation Process



5 Procedure Steps

The following table documents the steps for performing the quality evaluation process:

Step	Description	Responsibility
1.	**Plan Quality Evaluation** • Plan quality evaluations based on project milestone dates • Maintain a schedule for quality evaluation separately from the project schedule using the *Quality Evaluation Schedule* in Attachment 5. • Review documented related to procedures, guidelines, standards, and functional requirements to support the planning effort for the quality evaluation	QA Lead
2.	**Conduct Quality Evaluation** • Obtain and review artifacts for objective evidence for compliance • Review team members to assess compliance	QA Lead
3.	**Summarize Findings** • Summarize findings for quality evaluations using the *Quality Evaluation Report* in Attachment 6. • Identify each corrective action, propose a resolution for the corrective action and assign a due date based on priority Note: As a guide, due dates for corrections actions: High Priority (with 30 days); Medium Priority (within 60 days), Low Priority (within 90 days)	QA Lead
4.	**Review Findings** • Review findings with Project/PMO Manager to discuss quality evaluation results • Make revisions to summary report as needed After findings in the evaluation report have been agreed upon the QA Lead files the report in the project common directory.	QA Lead, Project/PMO Manager
5.	**Record and Track Corrective Actions** • Initiate the *Corrective Action Identification and Tracking Procedure* to record and correction actions to closure.	QA Lead

6 Procedure Output

The output produced by the execution of this procedure is a Quality Evaluation Summary Report with findings and recommendation for the resolution of corrective actions.

Attachment 5: Quality Evaluation Schedule

Quality Evaluation Schedule

Quality Evaluation Description	Type of Evaluation (Process or Work Product)	Planned Date	Actual Date	Finish Date

Attachment 6: Quality Evaluation Report

Quality Evaluation Report

Description: _____ Evaluation Type: _____

Project QA Lead _____

Evaluation Area: _____ Start Date: _____ Finish Date: _____

Purpose/Scope

Documentation and Output Reviewed

Observations/Findings

Item	Corrective Action	Recommendations	Responsibility	Priority (H,M,L)	Resolution Date
1.					
2.					
3.					
4.					
5.					

Appendix C: Correction Action Identification and Tracking Procedure

1 Purpose

A Corrective action Report (CAR) is identified as part of ongoing project activities. A CAR is recorded when there is evidence of the following:

- A deviation from a documented plan, process, or procedure
- A deviation from applicable standards
- Failure to meet functional requirements

CARs are assigned to an individual and assigned a priority. The priority for CARs consists of the following:

- Low – action is cosmetic (e.g. deliverable template is not being followed), has no impact on project performance
- Moderate – action is minor (e.g. processes and standards, as documented, are not being followed), has some impact on project performance
- High – action is major (e.g. results in major cost or schedule impacts), jeopardizes overall project performance

2 Roles and Responsibilities

The following represents the roles and responsibilities to support the execution of the corrective action identification and tracking process:

QA Lead

The QA Lead has the primary responsibility for identifying and tracking corrective actions to closure resulting for the review of project or PMO activities.

Note: Use of the title "QA Lead" within this procedure assumes that the role of the Project QA Lead and the PMO QA Lead are identical but are performed at the corresponding project or PMO level.

CAR Owner

The CAR Owner is responsible for taking action to resolve corrective actions. The CAR Owner will consider the resolution proposed the QA Lead, but may consider an alternative final resolution to close out the CAR.

Project Team Members

Team leads, project/PMO managers, and staff are responsible for participating in the resolution of corrective actions which have been identified and assigned.

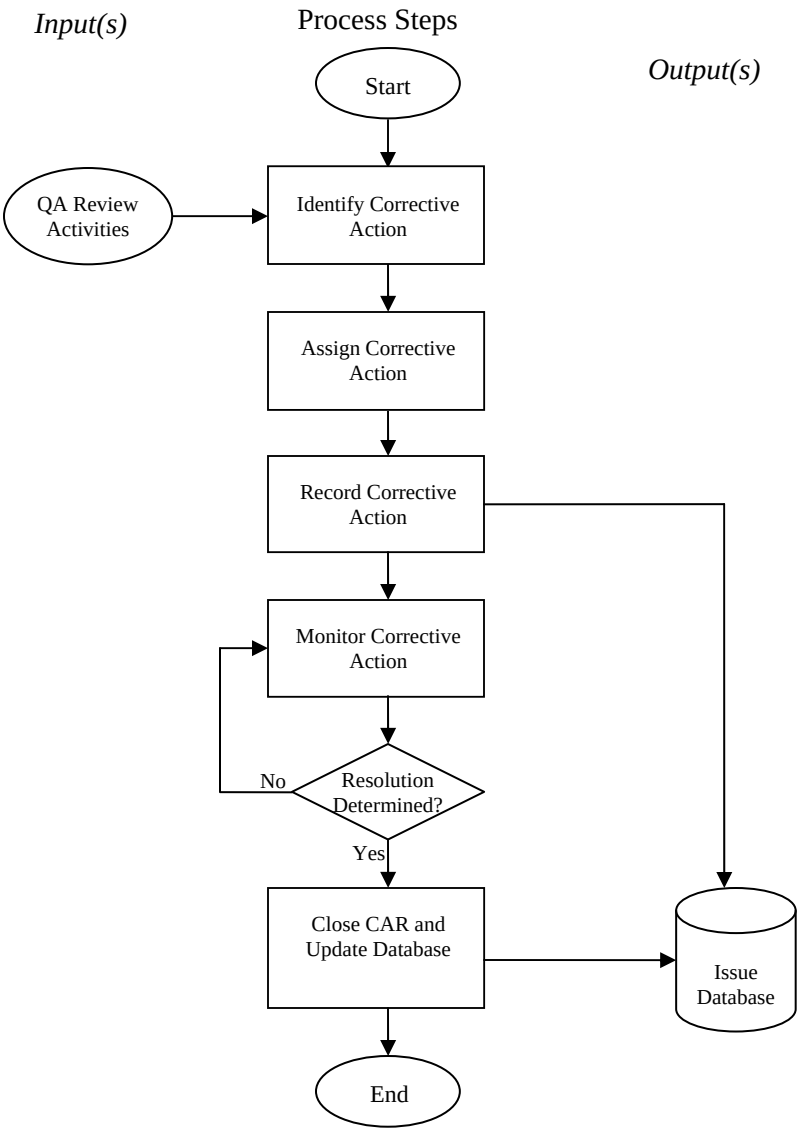
3 Prerequisites

The review of project activities related to standards, procedures, and guidelines are prerequisites for executing this procedure.

4 Procedure Flow

The following diagram represents the process flow for the corrective action identification and tracking process:

Figure C-1: Corrective Action Identification and Tracking Process


Input(s)
Process Steps
Output(s)
Start
QA Review Activities
Identify Corrective Action
Assign Corrective Action
Record Corrective Action
Monitor Corrective Action
No
Resolution Determined?
Yes
Close CAR and Update Database
Issue Database
End

5 Procedure Steps

The following table documents the steps for conducting the corrective action identification and tracking process:

Step	Description	Responsibility
1.	**Identify Corrective Action** • Corrective actions are identified as a part of ongoing project quality control activities to document deviations from established standards, processes, and guidelines	QA Lead
2.	**Assign Corrective Action** • Assign the individual who is responsible for taking action to address issues noted in the CAR	QA Lead
3.	**Record Corrective Action** • Corrective actions are recorded in the issue database with the following information: - Corrective action identifier - Corrective action name - Corrective action description - Proposed resolution - Final resolution - Responsible individual for correction - Status (Open, Closed, Cancelled) - Status Date - Priority (High, Medium, Low)	QA Lead
4.	**Monitor** • Monitor and report open corrective actions • Corrective actions which cannot be resolved within 30 days are forwarded to team management for resolution Note: CARs are continuously monitored and reported until they are closed.	QA Lead
5.	**Close CAR and Update Database** • Close the CAR by updating the status in Issue database to Closed. Note: CARS require completion of the Final Resolution field before they are closed.	QA Lead

6 Procedure Output

The output produced by the execution of this procedure is a CAR in the issue database.

Appendix D: Sample Quality Assurance Status Report

Memo

To: Dave Ostermeyer

From: Sandy Baressi

Date: August 14, 2003

Subject: Quality Assurance Monthly Status Report for August

I. Deliverable Status During Period

The following table shows the deliverable review status for the month. For each deliverable, it specifies the due dates for Draft Final and Final documents. It also indicates the date that the document was formally signed off and the signatory name. The **bolded** items are deliverables that had a change in status during the reporting period.

	Baseline Schedule Date	Revised Schedule Date	Actual Completion Date	Explanation of Deviations
1.1 COTS Software Maintenance				
Updated Year End Procedures	04/14/03			
Final FY03 Year End Plan/Schedule	04/28/03			
1.2 License and Maintenance Fees	**N/A**			
1.3 Phoenix Release Deployment				
Phoenix Release 3.7.4 - Final Requirements	**11/13/02**	**01/31/03**		New requirements
Phoenix Release 3.7.4 - Final Test Plan	12/20/02		01/07/03	Change in scope
Phoenix Release 3.7.4 - Final Test Results Report	01/03/03	02/17/03		Change in scope
Final Revised Phoenix Testing Strategy	03/14/03			
Final Updated Regression Test Scripts	07/07/03			
3rd Quarter update of the one FSI material weakness (Primary Accounting System)	07/15/03			

II. Deliverable Review Meetings During Period

The following table shows the deliverable review meetings that occurred during the month including: the date held, the number of reviewers in attendance, and the total review hours that expended for the review.

Deliverable	Date Review Held	*Number of Reviewers
Reorganization Validation Plan	02/12/03	4
FSI Project Management Plan for FY2003	02/14/03	6

*Detail for attendance is recorded in DRT Meeting Summary

III. Quality Evaluations

The following table shows total number of quality evaluations that were conduct during the month including: type of quality evaluation, number of CARs opened during the month, number of CARs closed during the month, and the total number of CARs open to date.

Quality Evaluation Summary	Type	Date Held	CARs Opened
Reviewed compliance with document standards	Work Product	02/12/03	2
Reviewed compliance with Deliverable Review SOP	Process	03/22/03	0

Total CARs Opened: **2**
Total CARs Closed: **1**
Total CARs Passed Due: **10**

Appendix E: Key Participants

Name	Organization	Phone Number
Linh Lam	USAID PMO	202-712-4697
Pat Kristobek	USAID PMO	202-712-1284
Freddy Blunt	USAID PMO	703-465-7172
Kim Hintzman	IBM BCS	703-653-7647
Angela Carrington	IBM BCS	703-465-7055
Jennifer Wilkinson	IBM BCS	703-465-7093
André Armstrong	IBM BCS	703-465-7158

Appendix F: Acronym List

BT	Business Transformation
BTEC	Business Transformation Executive Committee
CAR	Corrective Action Report
CMMI	Capability Maturity Model Integration
DRT	Delivery Review Team
IEEE	Institute of Electronics and Electrical Engineers
PMO	Project Management Office
QA	Quality Assurance
QCP	Quality Control Plan
USAID	United States Agency for International Development