

Quality Management_300_Quality Process Audit Procedure

Last Updated: 05/17/2017

Audience:
CWDS Service Teams, PMO

Frequency:
As needed

After reading this procedure, the audience will be able to understand the procedure for pre-audit, audit and continuous improvement activities associated with Process Audits. A Process Audit is a systematic investigation of a specific process or procedural area. Quality Process Audits are used as an approach to determine whether project activities comply with the project's quality policies, processes, and/or procedure and whether the appropriate controls are being applied.

Overview:

A Quality Process Audit is a systematic investigation of a specific process or procedural area. Quality Process Audits are used as an approach to determine whether project activities comply with the project's quality policies, processes, and/or procedure and whether the appropriate controls are being applied.

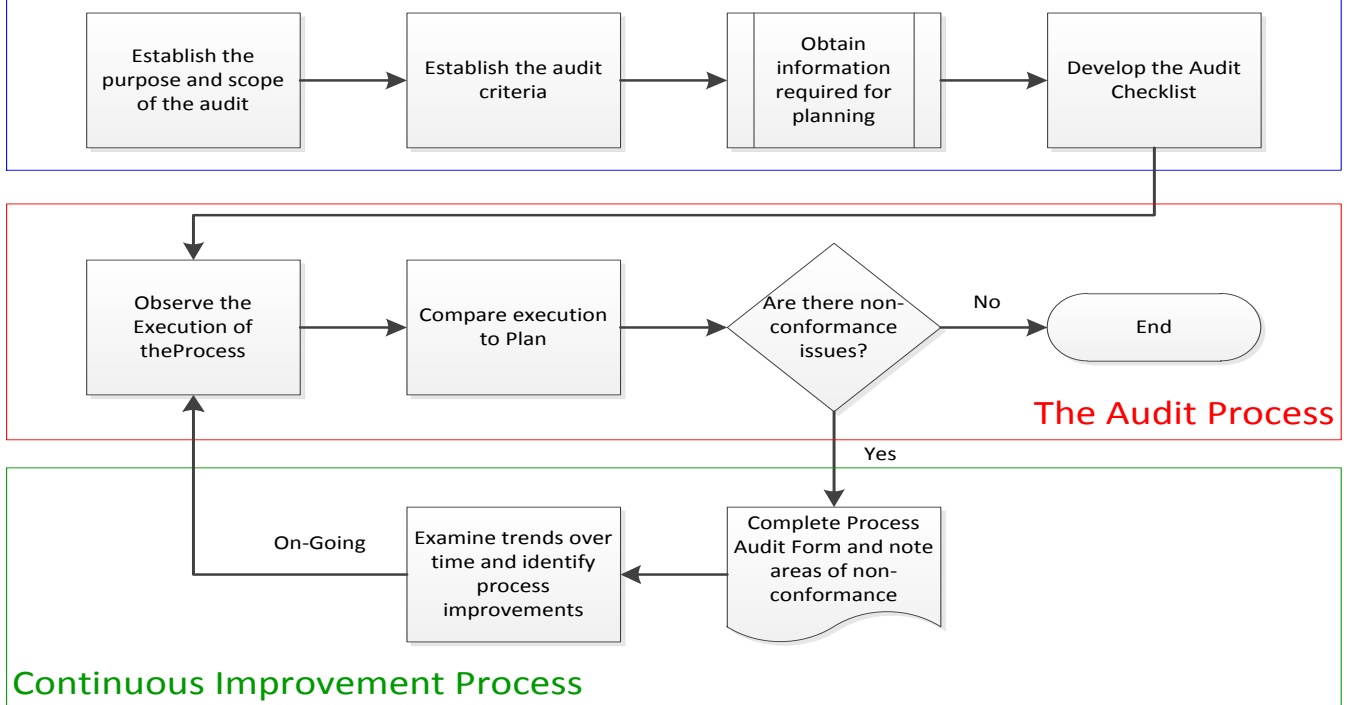
The Quality Process Audit helps to ensure that the project is executing the day-to-day processes in accordance to the approved plans and approach. As with the Product Review, a Process Audit is an effective quality improvement tool to enhance the consistency of the process and the overall quality of the product. For the purposes of Quality Assurance, a "process" is defined as:

- Project management processes that are executed by project staff (e.g. risk and issue process, change control process, schedule management process).
- System Development processes that are executed by the digital service teams (e.g. configuration management process, requirements development and management process, sprint planning process, sprint execution process, training execution).
- Tools used by Project staff (e.g. SharePoint, Pivotal Tracker, Project website).

Process Audit Workflow:

The workflow defined below depicts the process audit steps necessary to ensure that the project is executing the day-to-day processes in accordance to the approved plans and approach. The workflow is divided into pre-audit processes, audit processes, and continuous improvement processes as described below:

The Pre-Audit Process



The Pre-Review Audit: Procedure Steps

The following table lists the procedural steps for executing the tasks necessary in the pre-audit phase of a Process Audit:

Step	Description
1.	Establish the purpose and scope of the Process Audit in compliance with defined intervals. Complete section 1 of the Process Audit Form and get approval from the PMO Project manager before proceeding with the Audit.
2.	Establish the audit criteria for conformance, affectivity and efficiency: <ul style="list-style-type: none"> • Quality Standards • Quality Criteria • Quality Acceptance
3.	Obtain information required for planning the process audit, including but not limited to: <ul style="list-style-type: none"> • Quality Management Plan and/or Quality Metrics Plan • Document Management Plan (internal documents) • Deliverable Management Plan (external deliverables and work products) • PMBOK, CA-PMF, IEEE or ITIL reference material • Statement of Work for development team or consultant vendor
4.	Assess Process against the Process Audit Checklist: <ul style="list-style-type: none"> • Defined standards to measure against • Defined reference material to be used in the assessment • Defined checklist of items to be included

Step	Description
5.	Fill out section 3 and provide link to Quality Checklist and Comment Log (if any).

The Audit Process: Procedure Steps

The following table lists the procedural steps for executing the tasks necessary in the audit phase of a Process Audit.

Step	Description						
1.	<p>The main task of Quality Process Audit is to judge how effective the CWS-NS quality management program is at identifying and reducing process mistakes and to provide guidance for improving quality assurance efforts. Quality Process Audits focus on Compliance, Efficiency and Effectiveness criteria:</p> <ul style="list-style-type: none"> • Compliance <ul style="list-style-type: none"> ○ After observing execution of process, is it in compliance with the documented Plan? Is it in compliance with the project or Plan standards (OSI, PMBOK, IEEE, ITIL, etc.?) ○ If it is out of compliance, should the process be amended or should the Plan be amended? ○ Verify that processes and procedures are developed, communicated, implemented, monitored, and complete. • Efficiency <ul style="list-style-type: none"> ○ Can we perform this task or activity in a smarter manner? ○ Have we eliminated all duplicative tasks or manual efforts, where appropriate? ○ What is positive about the current process? Alternatively, what process areas need improvement? Could we perform this task differently? ○ Is this process still needed? • Effectiveness <ul style="list-style-type: none"> ○ Are best practices and metrics employed to identify issues, progress, performance, etc.? ○ Do we know what our customer's expectations are regarding this process? ○ Are we meeting our customer's expectations consistently? ○ Are we positioned to meet our customer's future needs? 						
2.	Plan on conducting Process Audits as per the project schedule:						
	<table border="1"> <thead> <tr> <th>Type of Audit</th> <th>Interval</th> <th>Conducted By</th> </tr> </thead> <tbody> <tr> <td> PM Processes (each of the main knowledge areas of PMI): <ul style="list-style-type: none"> • Schedule Management • Risk & Issue Management • Requirements Management • Change Management • Configuration Management • Governance </td> <td>Every 6 months</td> <td>Quality Assurance Manager, Schedule Manager and Risk Manager</td> </tr> </tbody> </table>	Type of Audit	Interval	Conducted By	PM Processes (each of the main knowledge areas of PMI): <ul style="list-style-type: none"> • Schedule Management • Risk & Issue Management • Requirements Management • Change Management • Configuration Management • Governance 	Every 6 months	Quality Assurance Manager, Schedule Manager and Risk Manager
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Step	Description	
	<ul style="list-style-type: none"> • Communication Management • Scope Management • Contract Management • Procurement Management • Document Management 	
Testing	Every PI/Release	Quality Assurance Manager, Development Team, Development Lead, Release Manager
Sprint Planning	Every PI/Release	Quality Assurance Manager, Development Team, Development Lead, Release Manager
Sprint Reviews	Every PI/Release	Quality Assurance Manager, Development Team, Development Lead, Release Manager
Release Planning	Every PI/Release	Quality Assurance Manager, Development Team, Development Lead, Release Manager
Implementation	Every PI/Release	Quality Assurance Manager, Development Team, Development Lead, Release Manager
3.	<p>Observe the execution of the process. This can occur in many different forums, including but not limited to:</p> <ul style="list-style-type: none"> • Attend Meetings where the process is executed and observed • Review performance or status reports where the results of the process are documented • Interview SMEs that are end-users of the process or recipients of the process outcome 	
4.	<p>Compare execution off the process to the approved Plan by reviewing detailed steps within the Plan and aligning the steps with the process execution that was observed:</p> <ul style="list-style-type: none"> • Internal Process – compare execution of process against internal approved document. • External Process – compare execution of process against contract SOW for system integrator and approved Plan and DED. 	
5.	<p>Identify areas of non-conformance in section 2. Designate the areas by stoplight status:</p> <ul style="list-style-type: none"> • Green – Satisfactory – No corrective action necessary. Risks/Issues may exist and contain appropriate mitigation or resolution steps and the project is addressing them.No impact to project schedule, budget or quality. The current risk to the overall project and quality is low. • Yellow – Caution – There may be a need for corrective action now or quite soon. Risks/ Issues often are not identified or contain stale mitigation or resolution steps. Moderate impact to schedule, budget or quality. The current risk to the overall project and quality is Moderate. • Red - Critical - Escalated for immediate corrective action. Risk mitigation is not effective or issue resolution is not timely. Critical processes are not 	

Step	Description
	<p>effective and are resulting in delays or rework. Significant impact of 10% or more to schedule or budget. There is a significant risk to the project.</p> <ul style="list-style-type: none"> • Blue - Not enough data is available to decide about project health.

The Continuous Improvement Process: Procedure Steps

The following table lists the procedural steps for executing the tasks necessary in the continuous improvement phase of a Product Review:

Step	Description
1.	After Audit 1 is complete, compare the results of Audit 1+ to the baseline to determine if any trends exist. Look for continued major and minor areas of non-conformance and determine if underlying processes and procedures from ancillary practices need to be modified as a result.
2.	On-Going → Observe Execution of the Process.
3.	Make recommendations for process improvement or corrective action and add stories to the appropriate product backlog.

Sample Process Audit Template:

A template has been created and is available for use as a Quality Process Audit Form.

Section 1 - Introduction			
Type of Process Audit	<input type="checkbox"/>	State Process	<input type="checkbox"/> Digital Service Team Process <input type="checkbox"/> Other Process
Date of Assessment			
Name of Process			
Name of Document that Governs the Process			
Audit Conducted By			
Process or Technical Area Impacted	<input type="checkbox"/>	Project Management Process Area: _____	
	<input type="checkbox"/>	Technical Oversight: _____	
	<input type="checkbox"/>	Agile Process: _____	
Section 2 – Process Audit Results			
Documentation Reviewed or Processes Observed			
Process Audit Criteria	Stoplight Status	Comments	
Compliance to Approved Plans/Standards			
Efficiency of Process			
Effectiveness of Process			
Overall Quality			
Recommendation for Acceptance	<input type="checkbox"/> Process as Executed is Acceptable (no changes required)	<input type="checkbox"/> Process as Executed Requires Process Improvements (revisions required for all Yellow Stoplights) <input type="checkbox"/> Must be addressed Immediately <input type="checkbox"/> Must be addressed in next sprint	<input type="checkbox"/> Process as Executed is Unacceptable (significant changes/rewrite are required for all Red stoplights)
Section 3 - Links			
Quality Checklist Link			
Other Document Links			