

PPQA External Assessment Checklist

Date(s) of Assessment: _____ Project and Life Cycle: _____

Assessor(s): _____ SQE Name: _____

		Y, N, NA	F, O	Comments
ASSESSMENT PREPARATION				
1	Were guidelines/criteria used to define and prepare for this assessment?			
2	Were the SAM and/or SQE given advance notice of this assessment?			
PPQA GENERIC PRACTICES				
3	Does Software Quality have an organizational policy for planning and performing PPQA (GP 2.1)? If so, where is it defined?			
4	Has a Software Quality Assurance Plan (SQAP) been developed and approved for the project (GP 2.2)?			
5	Has the SQE developed and maintained a schedule of SQ activities commensurate with the project's Software Management Plan (GP 2.2)?			
6	Have adequate resources for performing the PPQA process area been provided (GP 2.3)? For example, tracking tools or repositories.			
7	Has a Service Order and Work Authorization Form been submitted that assigns responsibility and authority for conducting a Software Quality Program (GP 2.4)?			
8	Has the SQE been trained to NASA and project procedures and are training records on file (GP 2.5)?			
9	Are work products under appropriate levels of configuration management (GP 2.6)? Where are the levels defined? See also Question # 25.			

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10	Have Relevant Stakeholders been identified (GP 2.7)?			
11	Is the PPQA process monitored and controlled (GP 2.8)? If so, how?			
12	Do you review status with higher-level management and resolve issues (GP 2.10)? If so, how?			
OBJECTIVE EVALUATIONS (Processes and Work Products) SG 1				
13	Have process evaluations been conducted commensurate with the software life cycle activities (SP 1.1-1):			
13a	Project Planning?			
13b	Project Monitoring and Control?			
13c	Measurement and Analysis?			
13d	Requirements Management?			
13e	Configuration Management?			
13f	Supplier Agreement Management?			
13g	Risk Management?			
13h	Software Problem Reporting?			
13i	System/Subsystem Reviews?			
13j	Peer Reviews?			
13k	Verification?			
13l	Validation?			
14	Have work product evaluations been conducted commensurate with the software life cycle activities (SP 1.2-1)? Example products include:			
14a	Document Reviews (e.g., Product Plan, CMP, RMP, SRS)?			
14b	Software Development Folders?			
14c	Version Description Documents?			
14d	Software Requirements Traceability Matrix?			
14e	Test Reports?			
14f	Monthly Status Reports (e.g., BSR packages)?			
15	Was a defined criteria used to objectively evaluate processes and work products?			

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Y=Yes, N=No, NA=Not Applicable, F=Finding, O=Observation

For more information, please visit the NASA GSFC Software Assurance Website, at <http://sw-assurance.gsfc.nasa.gov>.

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OBJECTIVE INSIGHT SG 2				
16	Have assessment reports and noncompliances from the process and work product evaluations been documented (SP 2.2-1)?			
17	Have results and noncompliances been communicated to the relevant stakeholders, for example the PDL or OSSMA Management (SP 2.1-1)?			
18	Have noncompliance issues that cannot be resolved within the project been escalated (SP 2.1-1)?			
19	Is there evidence that noncompliances are updated, regularly statused, and tracked to resolution (SP 2.1-1)?			
20	Does the SQE trend noncompliance or quality issues (SP 2.1-1)?			
21	Does the SQE provide a weekly status input to the Project/SAM (SP 2.1-1, GP 2.10)?			
22	Does the SQE provide a monthly input highlighting any noncompliances, quality issues and/or risks (SP 2.1-1, GP 2.10)?			
23	Per the SQA Data Management Plan:			
23a	Does the SQE maintain the following work products in their SQE Folder: Work Authorization Form, Weekly, Monthly/Quarterly Report, Training Log, Metrics, SQAP, Stakeholder Table, Schedule, and IV&V Reports?			
23b	Are assessments reports, associated DR's, and completed checklists maintained in SQERD?			
23c	Are project-related emails on the SQE's desktop?			
23d	Are there any NCRs in the GPRS?			
REFERENCE ITEMS/DOCUMENTS				
<i>CMMI-SE/SW/IPP/SS, Version 1.1, PPQA Goals and Practices</i>				
<i>303-PG-7102.2.1B, Procedure for Developing and Implementing Software Quality Programs</i>				
<i>IEEE-730-2002 for the recommended Software Quality Assurance Plan Template</i>				

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