

# COMPANY NAME

## SCM Audit Checklist

### Revision History

*Use this Revision History for revisions to the SCM Audit Checklist and complete the table below as indicated. Delete these instructions when the document is complete.*

<b>Document Version</b>	<b>Revision Date</b>	<b>Originator</b>	<b>Revision Description</b>
1.0	xx-xx-20xx	Flo Samuels	Initial Release.
1.1	xx-xx-20xx	Flo Samuels	Reasons for Revisions
1.2	xx-xx-20xx	Flo Samuels	Reasons for Revisions

# COMPANY NAME

## SCM Audit Checklist

**\$ PROJECT/PRODUCTION NAME \$**

**PROJECT ID: \$ Project ID \$**

**Development/Project Manager:** \$ Development/Project Manager's Name \$  
**Auditor:** \$ Auditor's Name \$  
**Stage or Frequency:** \$ Project/Production Stage Name \$  
**Dates of Audit:** \$ MM/DD/YY to MM/DD/YY \$

*This is an on-line checklist, but it can also be printed and filled in by hand. To complete this checklist, check (using a left mouse click or the spacebar) the box that applies. To move among the check-boxes, use either the Tab or arrow keys. **Note:** See Selection Criteria for what defines a "Yes" answer.*

**Answer each question as a "Yes," "No," or "N/A." For "Yes," check the box next to the item that supports the Yes answer.**

**\*Selection Criteria: (see last page for directions and definitions)**

**Yes** - All requirements met

**No** - One or more requirements not met

**N/A** - Question is not applicable to audited activity

<b>SCM Plan</b>	<b>Yes</b>	<b>No</b>	<b>N/A*</b>
1. Does the project have an approved SCM Plan (if no, stop here)?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Verify Meeting minutes for approval <b>OR</b>			
<input type="checkbox"/> Verify E-mail from Product and/or Project and Development Manager for approval.			
<input type="checkbox"/> Other:			
2. Are SCM Plan updates completed on time, as specified in the plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Verify prior versions of SCM Plan exist.			
<input type="checkbox"/> Examine MS Project Schedule Actuals (for this task).			
<input type="checkbox"/> Other:			
3. Are the specified number of versions being maintained?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inspect the Configuration Management software system Project/Production Library for versions maintained.			
<input type="checkbox"/> Other:			
4. Are CI's, Baselines & Releases retained as specified in the Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Inspect the Configuration Management software system Project/Production Library or			
<input type="checkbox"/> Examine the Configuration Management software system Inventory Report.			
<input type="checkbox"/> Other:			

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<b>SCM Plan</b>	<b>Yes</b>	<b>No</b>	<b>N/A*</b>
5. Are requests for library allocations (VOBs) completed on time, as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Verify dates in E-mails with the Configuration Management software system VOB date stamps. <input type="checkbox"/> Other:			
6. Are Configuration Status Accounting Reports completed on time, as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Examine dates on prior versions of the Configuration Management software system Status Accounting Reports, <b>OR</b> <input type="checkbox"/> Examine MS Project Schedule Actuals (for this task). <input type="checkbox"/> Other:			
7. Are Configuration Status Accounting Reviews conducted as scheduled in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Examine dates on Status Accounting Review Minutes, <b>OR</b> <input type="checkbox"/> Examine MS PROJECT Schedule Actuals (for this task). <input type="checkbox"/> Other:			
8. Are Configuration Status Accounting discrepancies logged, tracked and resolved on time, as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Examine Discrepancy Log. <input type="checkbox"/> Other:			
9. Are SCM Audits by QS performed, as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Examine Audit Findings <b>OR</b> <input type="checkbox"/> Examine MS PROJECT Schedule Actuals (for this task). <input type="checkbox"/> Other:			
10. Are audit discrepancies resolved on time, as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Examine (discrepancy resolution time) SCM Plan. <input type="checkbox"/> Verify (discrepancy resolution date) Discrepancy Log. <input type="checkbox"/> Other:			
<b>SCM Plan Production</b>			
1. Is the SCM Plan being maintained by the person who has responsibility for maintaining the plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Verify resource names in SCM Plan. <input type="checkbox"/> Examine resource name in MS PROJECT Schedule Actuals. <input type="checkbox"/> Other:			
<b>SCM Closure</b>			
1. Have final configuration audit and reviews and final housekeeping been performed as specified in the SCM Plan?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input type="checkbox"/> Verify Final Audit Findings exists. <input type="checkbox"/> Verify Final Status Accounting Report exists. <input type="checkbox"/> Other:			

# SCM Audit Checklist

<b>Library/Directory Identification</b>	<b>Yes</b>	<b>No</b>	<b>N/A*</b>
1. Are library (VOB) paths identified in the SCM Plan? <input type="checkbox"/> Verify SCM Plan lists Project/Production Library (VOB) paths. <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the requester notified when a request to establish a library (VOB) has been processed? <input type="checkbox"/> Verify E-Mail notification exists. <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Configuration Item Identification and Control

1. Do the CI's specified in the SCM Plan physically exist in the correct CI directories? <input type="checkbox"/> Examine SCM Plan. <input type="checkbox"/> Perform physical check of libraries (VOBs) or the Configuration Management software system Inventory Report. <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. Are external configuration items specified in the SCM Plan? <input type="checkbox"/> Examine SCM Plan. <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. If the answer to 2 was No, go to the next section. Otherwise, do external configuration items have the correct version numbers? <input type="checkbox"/> Examine SCM Plan. <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

## Baseline Identification and Control

1. Are Baseline unique identifiers and version numbers, as specified in the SCM Plan, correctly entered in the Configuration Management software system? <input type="checkbox"/> Examine SCM Plan. <input type="checkbox"/> Perform physical check of libraries (VOBs) in the Configuration Management software system <b>OR</b> <input type="checkbox"/> Examine the Configuration Management software system Inventory Report <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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## Release Identification and Control

1. Are Release unique identifiers and version numbers, as specified in the SCM Plan, correctly entered in the Configuration Management software system? <input type="checkbox"/> Examine SCM Plan. <input type="checkbox"/> Perform physical check of libraries (VOBs) in the Configuration Management software system <b>OR</b> <input type="checkbox"/> Examine the Configuration Management software system Inventory Report <input type="checkbox"/> Other:	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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# SCM Audit Checklist

## Release Identification and Control

Yes No N/A\*

2. Is an e-mail sent to the appropriate parties for every move to production?  Yes  No  N/A\*
- Examine SCM Plan.
  - Perform physical check of **Build\_Release Announce** directory in the Configuration Management software system.
  - Other:

## Change Request Tracking

1. Is the status of defect entries in the Defect Management or Customer Issues software systems up-to-date?  Yes  No  N/A\*
- Examine the Defect Management or Customer Issues software systems Defect Status Reports for date of entry. (Entries over a week old with status of **New** are not up-to-date.)
  - Other:
2. Is the status of enhancement request entries (Service Requests) in the Defect Management or Customer Issues software systems up-to-date?  Yes  No  N/A\*
- Examine the Defect Management or Customer Issues software systems Enhancement/Service Request Status Reports for date of entry. (Entries over a week old with status of **New** are not up-to-date.)
  - Other:
3. Is the requester notified when a Service Request is logged?  Yes  No  N/A\*
- Verify E-mails exist for the Defect Management software system **OR**
  - Notification has been entered in the Customer Issues software system.
  - Other:
4. Are all change requests recorded in the Defect Management software system or the Customer Issues software system?  Yes  No  N/A\*
- Sample two Test Reports and determine if functions tested were reflected in the Customer Issues software system and/or the Defect Management software system recorded change requests.
  - Other:

## SCM Plan Implementation

1. Are SCM deliverables identified in the SCM Plan?  Yes  No  N/A\*
- Examine SCM Plan,
  - Other:
2. Are SCM resources identified in the SCM Plan?  Yes  No  N/A\*
- Examine SCM Plan,
  - Other:

# SCM Audit Checklist

## SCM Plan Implementation

**Yes**      **No**      **N/A\***

3. Are SCM tools identified in the SCM Plan?

- Examine SCM Plan.
- Other:

## SCM Risks

1. Are key assumptions and risk areas identified in the SCM Plan?

- Examine SCM Plan.
- Other:

## SCM Effectiveness and Efficiency Metrics

1. Have the effectiveness and efficiency metrics been reported as outlined in the SCM Plan?

- Examine Stage End Status Reports.
- Other:

## SCM Schedule

1. Has the project schedule been updated with all SCM activities?

- Examine MS PROJECT Schedule.
- Other:

# SCM Audit Checklist

## DIRECTIONS FOR COMPLETING THE SCM AUDIT

### Preparation

Based on pre-defined points in the schedule, generally the end of each stage, or upon request, the QS Representative prepares to audit a project's SCM activities by gathering the following documents:

- Audit Information from previous audits, if any
- Blank SCM Audit form (this form).
- Blank SCM Audit Findings form (form title is Audit Findings and Recommendations).
- Blank SCM Discrepancy Log.
- Configuration Management software system Status Accounting Reports.
- SCM Discrepancy Logs.

During the audit, the auditor will use sample CIs to confirm the accuracy of

- Configuration Management software system Library (VOB) Information and
- Configuration Management software system CI, baseline, and release information.

During the audit, the auditor will use sample QS integration or system test reports to determine if the change requests have been logged and tracked. This information will come from

- Test reports.
- Change Request Tracking Data from the Defect Management software system, and
- Change Request Tracking data from the Customer Issues software system.

The auditor must work with the QS Director to produce needed reports from the Defect Management software system and the Production the Defect Management software system coordinator for reports from the Defect Management software system.

**Note:** If this is the second or subsequent audit for the project or production system, the auditor can chose to conduct either a full audit or partial audit, i.e. only focus on particular SCM topics based on one or more of the following criteria:

- Results from previous audit(s).
- A specific request from management or the customer.
- Other information the auditor may have.

### Audit Steps

1. The auditor begins the audit using SCM Audit form (this form). The criteria for Yes, No or N/A follows this section.
2. After answering the questions, the auditor compares the results of this audit with previously conducted audits (if any) to verify that earlier recommendations were implemented. Brief (1/2 hour - 1 hour) working session(s) can be scheduled with selected team member(s) for more information.
3. In completing the SCM Audit Findings form, recommendations can generally be derived by rewording the questions that were answered "No" into action sentences.
4. The auditor should ensure that all sections of the SCM Audit Findings form are complete. Follow-up audits, if required, should be scheduled approximately four to six weeks later. Attach action plans to address recommendations, as appropriate.
5. The auditor reviews a draft of the audit findings and recommendations, with the Development Manager, SCM Representative, and SCM Manager. At the review, an agreement is reached to either accept the report, as is, or modify it. If a follow-up audit is required, the SCM Representative schedules it.
6. Based on the audit findings, the SCM Representative records discrepancies (if any) in the Discrepancy Log.
7. The Development Manager assigns a person to resolve each discrepancy prior to the follow-up audit.
8. If there is not concurrence as to the follow-up actions required, the auditor follows the SQA Escalation Procedure (see Quality Plan Template, Appendix A) for resolution.

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9. Once the audit discrepancies are resolved, the SCM Representative appends the discrepancy resolution to the SCM Audit Findings form and distributes copies per instructions on the form.
10. The SCM Representative updates the audit summary information in the SCM Plan.

### **Selection Criteria Definitions:**

**Yes:** The “Yes” box is checked only if all stated requirements are met. That is, all items listed as evidence of compliance are examined and judged satisfactory by the auditor. If a functionally equivalent substitute item satisfies the requirement(s) of a question, the auditor describes the substitute in the “Other” field (48 characters), which is an option for each question in the checklist.

**No:** The “No” box is checked if one or more of the evidence items is missing or does not meet the stated requirements.

**N/A:** The “N/A” (not applicable) box is checked if the question does not apply at the time of the audit.