QUALITY ASSURANCE PROCESS

1.0   SCOPE

This procedure defines how Quality Assurance is achieved within the Enterprise Project Management Office (EPMO) Quality Management System (QMS). Quality Assurance ensures the Quality Objectives stated in the EPMO QUALITY MANUAL are met, prevents Deficiencies and Risks, and ensures the QMS functions effectively, efficiently and continually improves. When performance Deficiencies or Risks are identified the 0600-0600-005-B CORRECTIVE ACTION PROCESS or 0700-0700-005-B PREVENTIVE ACTION PROCESS is implemented as appropriate, resulting in opportunities to improve the QMS and IT Project performance.

2.0   OWNER

2.1   The Enterprise Project Management Office (EPMO) Manager owns this procedure. No changes, additions or alterations may be made without the owner's written approval.

3.0   REFERENCE DOCUMENTS

DOCUMENT IDENTIFICATION	DOCUMENT TITLE
N.C. GENERAL STATUTES CHAPTERS 121 AND 132	EPMO PROGRAM RECORDS RETENTION AND DISPOSTION SCHEDULE
ISO 9001:2008 STANDARD	QUALITY MANAGEMENT SYSTEMS - REQUIREMENTS
PMBOK	A GUIDE TO THE PROJECT MANAGEMENT BODY OF KNOWLEDGE - 5TH ED
0100-0100-005-QMS	EPMO QUALITY MANUAL
0100-0800-005-B	DOCUMENT CONTROL PROCESS
0100-0800-010-B	FORMS AND RECORDS CONTROL
0100-0800-015-B	PROCEDURE BALLOT AND APPROVAL
0200-0200-005-B	TRAINING MANAGEMENT
0300-0300-005-B	PROJECT MANAGEMENT PROCESS
0400-0400-005-B	RISK IDENTIFICATION AND MITIGATION
0500-0500-005-B	CONTROL OF NON-CONFORMING PRODUCT OR PROCESS
0600-0600-005-B	CORRECTIVE ACTION PROCESS
0700-0700-005-B	PREVENTIVE ACTION PROCESS
0810-0810-005-B	QUALITY CONTROL PROCESS
0820-0820-005-B	INTERNAL AUDIT PROCESS

4.0   ASSOCIATED FORMS

FORMS IDENTIFICATION	FORM TITLE
0100-0800-010-D	FORMS AND RECORDS CONTROL LOG FILE
0400-0400-005-D	RISK LOG TOOL
0600-0600-005-D	CORRECTIVE ACTION FORM

FORMS IDENTIFICATION	FORM TITLE
0810-0810-005-D	QUALITY CONTROL DECISION POINTS
0820-0820-005-D	FORMS 0800-001 2 3 4 - ISO QMS AUDIT TOOL

5.0   DEFINITIONS

- **DEFICIENCY:** *see Glossary of Terms and Definitions*

- **QUALITY ASSURANCE:** *see Glossary of Terms and Definitions*

- **QUALITY CONTROL:** *see Glossary of Terms and Definitions*

6.0   PROCEDURE

Quality Assurance focuses on ensuring the Quality Policy and Quality Objectives stated in the EPMO QUALITY MANUAL are achieved, and the QMS functions efficiently, effectively and continually improves. The Quality Management Representative (QMR) and Project Management Advisors (PMAs) are essential contributors to the success of the Quality Assurance Process.

6.1   Document Control

A key component of Quality Assurance, 0100-0800-005-B DOCUMENT CONTROL defines the process to implement a Document Control System within the EPMO QMS. The procedure establishes standards for document format, naming convention, process owner identification, process identification, process organization, revision control, document storage and document review.

6.2   Forms and Records Control

0100-0800-010-B FORMS AND RECORDS CONTROL defines the EPMO QMS requirements to create, name, store and retrieve forms and records. Effective management of QMS controlled Forms and Records is essential to the efficient collection, storage, retrieval and sharing of data. When completed, forms become records of effectiveness for the EPMO QMS. The records pertain to specific Information Technology (IT) Project histories and performance. This procedure conforms to legislated EPMO record retention and disposition requirements defined in N.C. GENERAL STATUTES CHAPTERS 121 AND 132.

6.3   Procedure Ballot and Approval

0100-0800-015-B PROCEDURE BALLOT AND APPROVAL defines the paperless voting, approval and adjudication process employed by the EPMO to effectively staff and approve new (or changes to existing) QMS Processes, Procedures, Work Instructions and Forms. The procedure does not supersede externally controlled procedure approval processes as may be mandated by Legislative, Agency or other regulatory activities pertaining to the EPMO.

6.4   Training Management

0200-0200-005-B TRAINING MANAGEMENT defines the EPMO procedure to effectively manage employee competence, professional training requirements, and awareness of EPMO QMS Policies, Objectives, Processes, Procedures, Work Instructions and Forms. The procedure compliments N.C.

General Statutes and does not interfere with or supersede any particular policy or procedure as may be defined by Office of Information Technology Services (OITS) Human Resources (HR) or Legislative mandate.

6.5 Project Management Process

Defines the EPMO QMS minimum requirements to effectively manage IT Projects. The 0300-0300-005-B PROJECT MANAGEMENT PROCESS further defines the minimum requirements for IT Project Phases, Decision Points, Weekly Status Reports, Corrective Action, Preventive Action, Quality Control Measures, Lessons Learned and Customer Feedback. These requirements and procedures work to ensure that IT Projects are planned, managed and delivered on schedule and within budget in a continually improving QMS environment. The guiding principles are found in the EPMO QUALITY MANUAL and PMBOK. To ensure EPMO QMS Quality Policy and Quality Objectives are met during the 0300-0300-005-B PROJECT MANAGEMENT PROCESS, the Project Manager (PM) and PMA review Cost Variances, Schedule Variances, Decision Point (DP) Service Level Commitment (SLC) Variances and Risks to ensure IT Project performance remains within the EPMO Thresholds established in 0810-0810-005-B QUALITY CONTROL PROCESS and 0810-0810-005-D QUALITY CONTROL DECISION POINTS. When performance Deficiencies or Risks are identified, the 0600-0600-005-B CORRECTIVE ACTION PROCESS or 0700-0700-005-B PREVENTIVE ACTION PROCESS is implemented as appropriate.

6.6 Risk Identification and Mitigation

Identified Risks are managed in accordance with 0400-0400-005-B RISK IDENTIFICATION AND MITIGATION. The purpose of Risk Identification is to document when there is an inability or failure to meet QMS defined Quality Objectives as stated within the EPMO QUALITY MANUAL. The procedure enhances Risk Management by ensuring effective Risk Identification and Mitigation strategies are incorporated within IT Project plans, thereby assuring IT Projects remain on schedule and within budget. When a Corrective Action opportunity exists due to a failure to execute a process according to requirements, or the proper execution of a process fails to produce acceptable results, the 0700-0700-005-B CORRECTIVE ACTION PROCESS is utilized. However, when a Preventive Action opportunity exists, the 0800-0800-005-B PREVENTIVE ACTION process is utilized as appropriate.

6.7 Control of Non-Conforming Product or Process

IT Projects that fall outside of the established Quality Control Measures documented in 0810-0810-005-B QUALITY CONTROL PROCESS and 0810-0810-005-D QUALITY CONTROL DECISION POINTS are considered "non-conforming" and are managed in accordance with the requirements defined in 0500-0500-005-B CONTROL OF NON-CONFORMING PRODUCT OR PROCESS. The procedure controls and monitors IT Projects when a non-conformity to a defined process is identified and/or when a Deficiency results in a Corrective Action to bring the project back into alignment with established project cost and/or schedule estimates. Because unmitigated non-conformities and/or Deficiencies add unnecessary cost and time delays, every attempt is made to keep IT Projects on schedule and within budget in accordance with established Quality Policy and Quality Objectives.

6.8 Internal Audit Process

The 0820-0820-005-B INTERNAL AUDIT PROCESS is executed at planned intervals, determined by the QMR, to ensure the entire EPMO QMS is evaluated. Specifically, it describes the procedure used to

ensure the EPMO QMS is continuously reviewed for conformity to its own requirements and the requirements of the INTERNATIONAL ORGANIZATION FOR STANDARDIZATION (ISO) 9001:2008 STANDARD. In addition, the procedure determines the effectiveness of EPMO QMS Processes, Procedures, Work Instructions, Forms and Records relative to established Quality Policy and Quality Objectives as defined in the EPMO QUALITY MANUAL.

7.0   RECORDS

7.1   Unless otherwise specified in this Procedure/QWI, Records shall be maintained in accordance with 0100-0800-010-B FORMS AND RECORDS CONTROL procedure.

8.0   REASON FOR CHANGE

8.1   Initial Issue.