T3 TIGERTECH

Internal Quality Auditing (for projects)

How to know your organization's projects

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Internal Quality Auditing (IQA)
For Projects

Why do we need IQA for projects?

What ISO 9001:2015 says

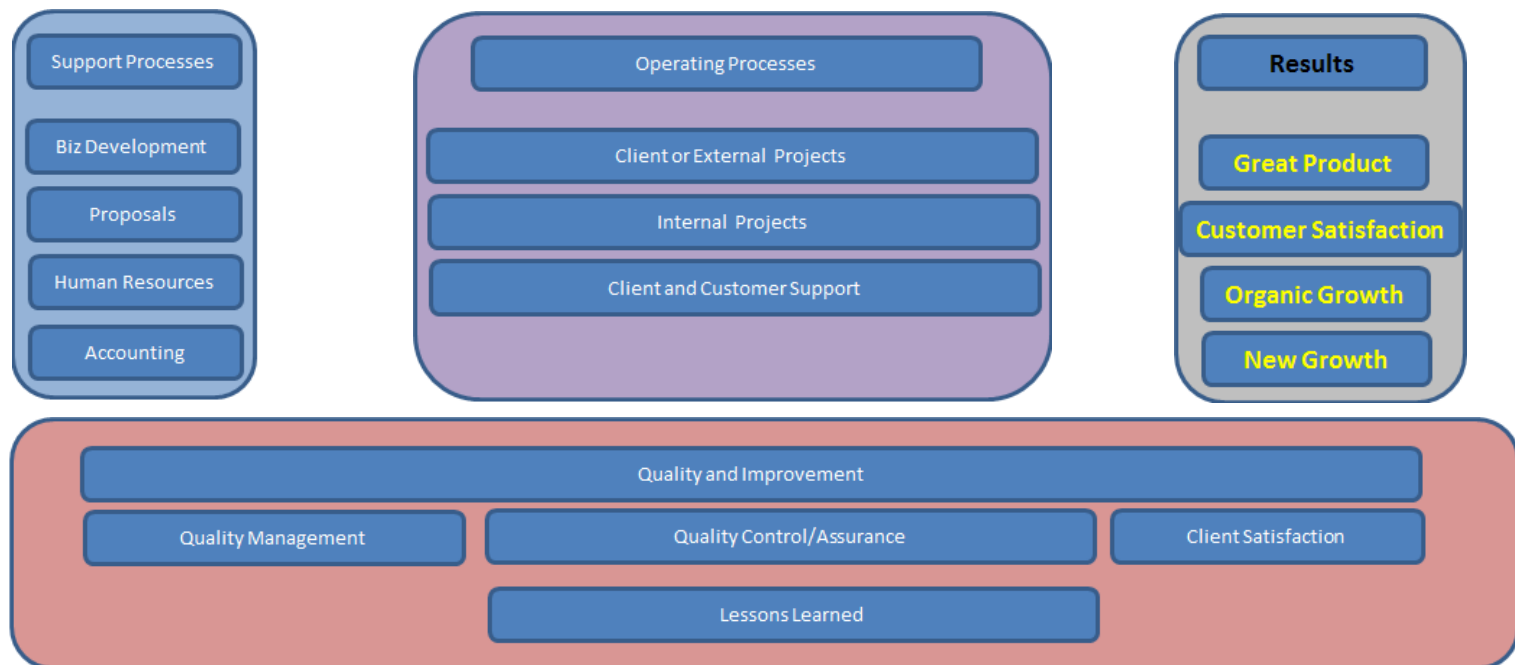What the PMBOK says

Basics of an Internal Quality Audit

Some forms and scenarios

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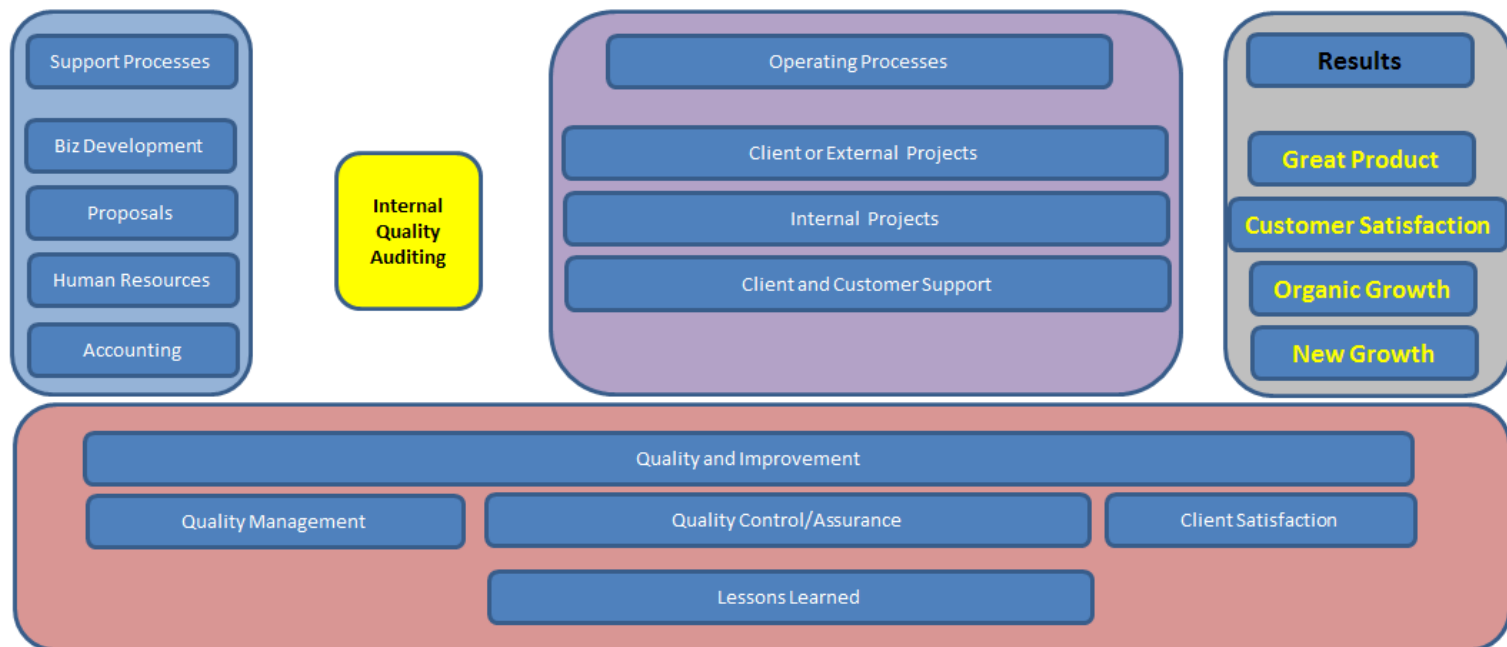
Typical Organization Processes

So, Where does IQA fit?

Support Processes	Operating Processes	Results
Biz Development	Client or External Projects	**Great Product**
Proposals	Internal Projects	**Customer Satisfaction**
Human Resources	Client and Customer Support	**Organic Growth**
Accounting		**New Growth**

Quality and Improvement

Quality Management	Quality Control/Assurance	Client Satisfaction

Lessons Learned

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Typical Organization Processes

Support Processes		**Operating Processes**	**Results**
Biz Development		Client or External Projects	Great Product
Proposals	Internal Quality Auditing	Internal Projects	Customer Satisfaction
Human Resources		Client and Customer Support	Organic Growth
Accounting			New Growth

Quality and Improvement

Quality Management	Quality Control/Assurance	Client Satisfaction
	Lessons Learned	

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IQA's growing influence in the project process
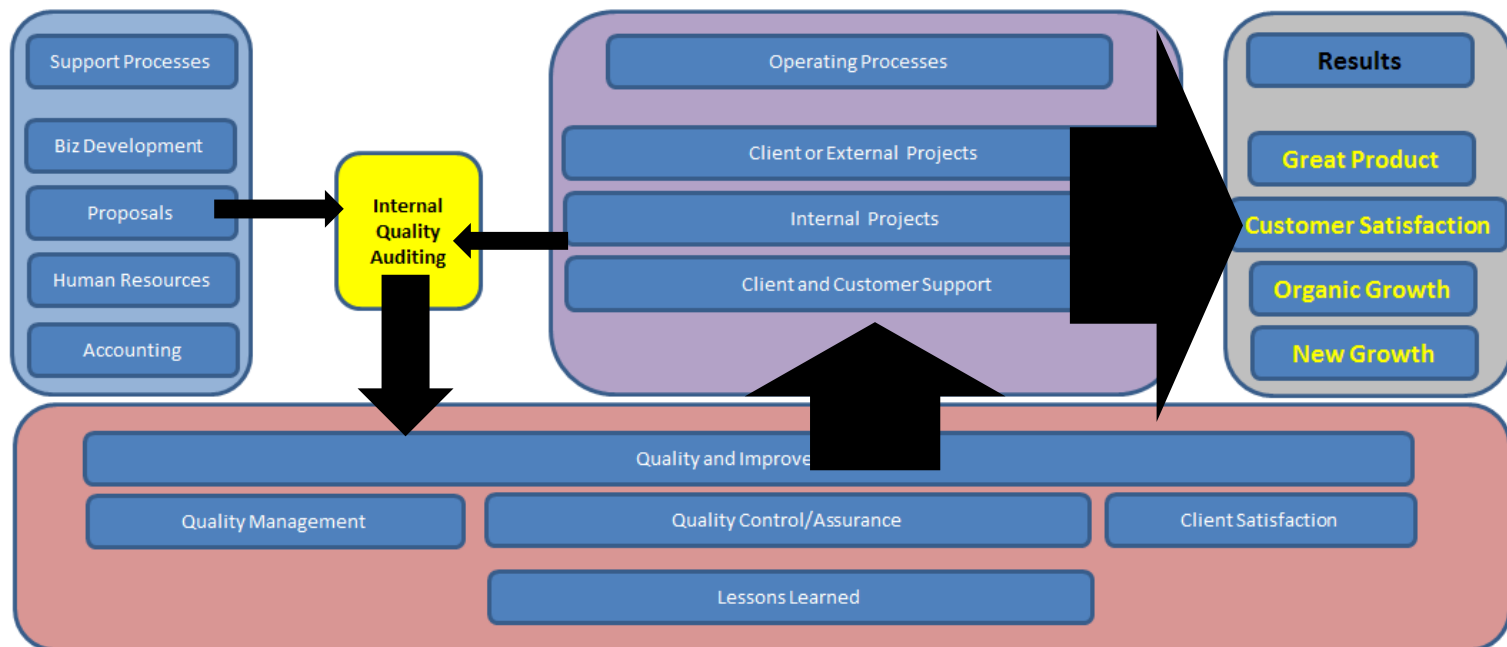
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What ISO 9001:2015 says

Planned intervals

The QMS is effectively implemented and maintained

The org shall: consider the importance of processes concerned, changes affecting the organization, results of previous audits

Ensure that results are reported to relevant management

Retain documented information as evidence

What doesn't it say?

No documented procedure is needed

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What the PMBOK says

Plan Quality

Perform Quality – Quality Audits

- Identify Best Practices
- Identify gaps/shortcomings
- Highlight contributions of each audit for lessons learned
- **Share Best Practices with other projects**
- **Proactively assist to improve implementation of the process to help the team raise productivity**
- **Process Analysis**

Perform Quality Control

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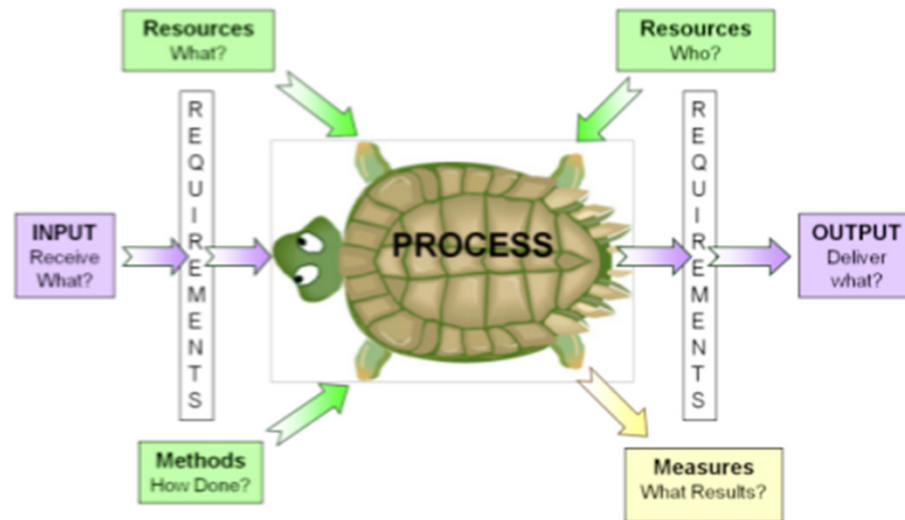**What does neither say?**

HOW TO DO AN AUDIT

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Basics of an Internal Audit

Audit Checklist for the process involved in the project or…

Do SIPOC or Turtle diagram

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Basics of an Internal Audit (for the PM)

Audit Checklist

- Do you have a Project Management Plan?

- Did you follow the organization template or tailor the PMP?

- Did it go through a review process compliant with the organization's review process?

- Do you have processes for this project?

- How do you know they are done right? Does someone track and keep metrics on the processes?

- How do you determine the risk for the project? Any risks identified? Are they mitigated? (this should be reflected in the Project Reviews and Weekly or Bi-weekly reports to the client)

- Are there any resource issues? Is HR providing the support you need?

- Any complaints from the client? (Staff, product, etc).

- Is the support from the organization enough?

- What could be done better for the project?

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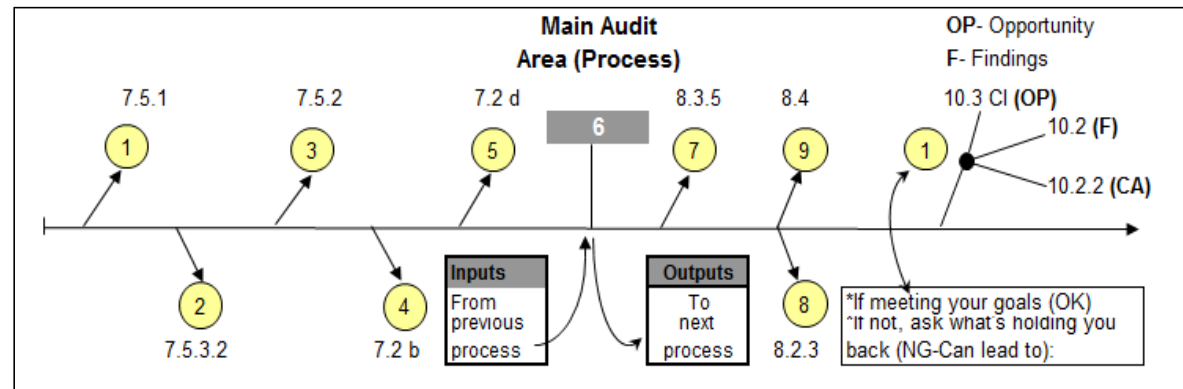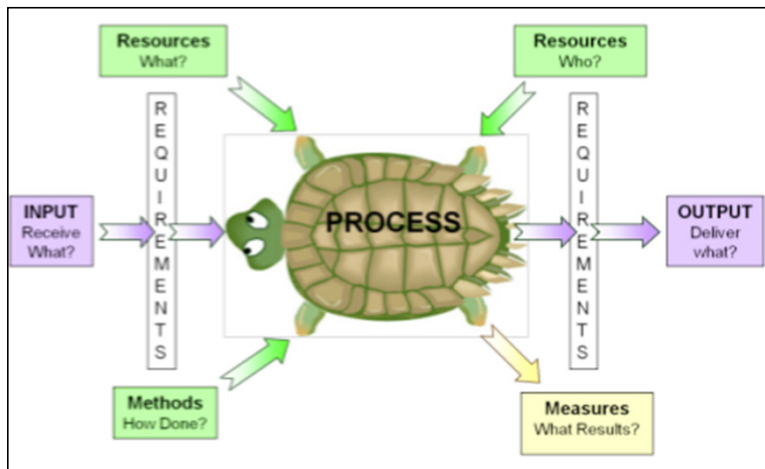**Basics of an Internal Audit (for the Process Owner)**

Audit Checklist

- What are the steps of the process?
- Are the requirements clear?
- What are the results of the process?
- Has the client been satisfied?
- Do you work well with the client?
- Any misunderstandings?
- Keep metrics?
- **What ideas do you have for improving the process or anything project-wise?**
- **What don't you like about the process?**

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Basics of an Internal Audit (Diagram)

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Internal Audit Form Worksheet	Standard: _____
Program: _____	Project: _____

Date:	
Auditor:	
Key Process Area:	
Interviewee:	

Process Definition/Sketch/Flow:

Turtle diagram:

Inputs:

Outputs:

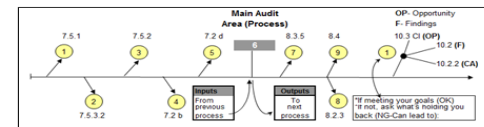**Support & Management Processes for Follow up:**

Measures:

Title	
	Phase
Function	
Function	
Function	
Function	
Function	

Internal Quality Auditing (IQA)
For Projects

Project

Item Audited:	Work area process
Date:	10/8/2015
Auditor:	Mark Berron
Instructions To Auditor:	Review process for adherence to ISO 9001:2008 and org process. Files are found in Sharepoint.
Interviewees:	John Doe

Note: Internal Audits are conducted per ISO 9001:2008 section 8.2.2

Version Number	Change			Author	Date modified	
1.0	initial release			Natalie Riley	6/25/2015	

Question	ISO reqt.	Audited Item	Complies with ISO reqt?	Complies with Proc.?	Comments	Non compliance
General						
Are necessary resources provided to ensure the QMS is implemented and maintained and continuously improved?		NA (Provision of Resources)				
Process						
What are the steps of the process?	7.2	Interview, Diagram				
Are the requirements clear?	8.2.2	Interview				
What are the results of the process?	8.3.5	Interview				
Has the client been satisfied?	8.5.5 e	Interview				
Do you work well with the client?	7.2	Interview				
Any misunderstandings?	8.2.1	Interview				
Are records maintained ?	7.5.3	Interview/ Database				
Do you keep metrics?	9.1.1	Interview/ Database				
General						
Does the process adequately accomplish its purpose?	8.6	Interview/Customer feedback				
Are there any ideas for improvement you have?	10.1 a	Interview				
Any complaints you have about the process?	10.1 b	Interview				

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WHO HAVEN'T WE INTERVIEWED YET THAT CAN REALLY INFORM US ABOUT THE PROJECT?

THE CLIENT, EL CLIENTE, EL JEFE, THE BIG KAHUNA

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SOME QUESTIONS FOR THE CLIENT

Are you satisfied with our performance so far?

What issues have you had with our service?

Any late deliverables?

How would you rate our deliverables and service for quality on a 1-5 scale?

What do you think we could do better?

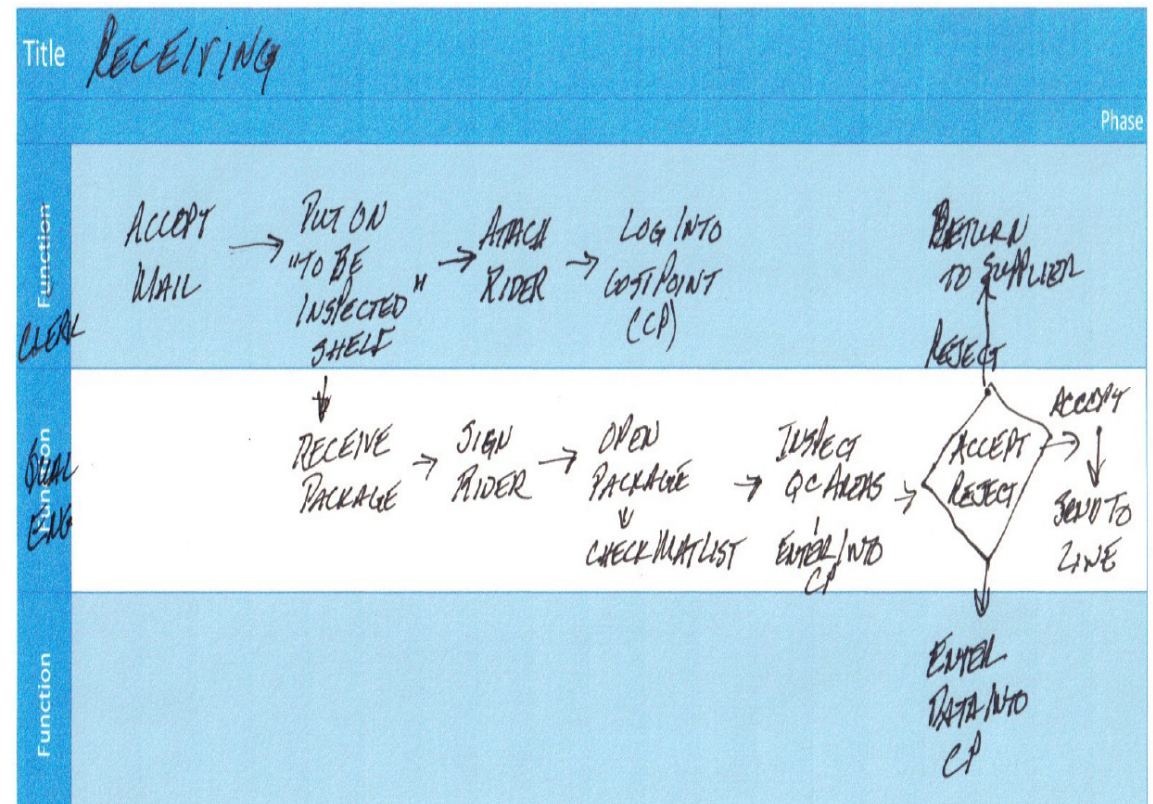# Drawing conclusions

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General						
Are necessary resources provided to ensure the QMS is implemented and maintained and continuously improved?		NA (Provision of Resources)				
Process						
What are the steps of the process?	7.2	Interview, Diagram	Yes		Was skipping Step 7 in process. However results are fine. Process should be amended.	
Are the requirements clear?	8.2.2	Interview	Yes		Requirements not clear. I have never seen the PWS.	
What are the results of the process?	8.3.5	Interview	Yes		My bi-weekly report.	
Has the client been satisfied?	8.5.5 e	Interview	Yes		Seems to be.	
Do you work well with the client?	7.2	Interview	Yes		Yes.	
Any misunderstandings?	8.2.1	Interview	Yes		Once, on what I thought was needed for the report.	
Are records maintained ?	7.5.3	Interview/ Database	Yes		Yes.	
Do you keep metrics?	9.1.1	Interview/ Database	No		No. On what?	NC01
General						
Does the process adequately accomplish its purpose?	8.6	Interview/Customer feedback	Yes			
Are there any ideas for improvement you have?	10.1 a	Interview	Yes		Was not really told of requirements of position until I got on site.	OBS01
Any complaints you have about the process?	10.1 b	Interview	Yes		Did not know about the project until the kickoff meeting. Was unprepared.	OBS02

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Scenario #1

An interview with the PM on a project reveals the following:

There is no Quality area on this project

There have been no audits of the processes

The client seems satisfied.

Your audit so far reveals:

The workers do not really know what they are supposed to do. The requirements haven't been explained to them. Their jobs don't seem to reflect what they were hired for.

They say the client is satisfied but doesn't like to meet with the PM. Only emails.

What do you feel are the issues and non-conformances?

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Scenario #2

You as the auditor notice the schedule hasn't been updated in the last 3 months or the PMP updated. There were 2 deliverables due last month. You checked with the PM and the database and saw they were not completed. The PM says it's ok and the client knows about it?

What is your next question ?

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Scenario #3

The PM has indicated they are way behind in checking expired VISAs but the client is ok with that, since it's been like that for a long time.

You as the auditor, using the Turtle diagram tool, have done some process mapping of the reviewers process and found some differences in how they do the job. The quicker reviewers skip some steps while others do those steps. This has resulted in a 40% difference in time to complete a review.

What is your recommendation?

Scenario #4
After several interviews with the PMs from different projects, it is apparent that they lose email communication when in the office periodically. They have told the problem to the Administrative officer, who handles the servers, but no response. Without the emails, the PMs and projects cannot communicate properly with their government counterparts.
You as the auditor, have now noted the trend.

What is(are) the non-conformance(s) and what should you do about it?

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Scenario #5

You have spoken to the client and found the organization's PM is not really well liked by the COR. You inquire further and find out the work is satisfactory, but they just don't see eye to eye. He didn't say it outright, but it is felt in the conversation.

You have already audited the staff on their processes and found they feel there is tension between the PM and COR and it makes their job harder.

What do you do?

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Scenario #6

This is a FFP contract. You ask the PM if any changes had been made to the requirements. She said no, except an exchange. Instead of doing CLINS 002 and 003, they do not want those now and instead are asking to add two other CLINS. I asked her how she was accomplishing this and did she accept. She said she ran it through the VP and it was ok but to get it in writing from the client. So far, haven't heard from the client, but we are doing some of the preliminary work on the CLINS.

What should be done?

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Scenario #7

You asked the process owner what improvements they could make to the process and they didn't know.

You then asked what they don't like about their process. They said it doesn't really work the way it should. He is dependent on the client submitting the review back to him in 2 days so that he can do a report. But generally the client doesn't get back to him for 4 or 5 days. He gets slammed on Tuesdays to get the report out by Wednesday.

What can you do as the auditor?

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Scenario #8

Yearly Total And Average Noncompliances per Audit