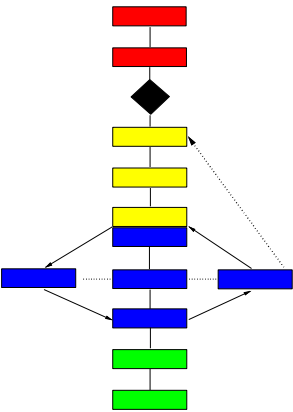# MITP and ISO9000 Standards and conformance Guide

MITP
v5.1

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Edition Notice
First Edition (September 1995)

This edition applies to Version C5.0 of Managing the Implementation of the Total Project (MITP), and to all subsequent releases and modifications until otherwise indicated in new editions.

A form for reader's comments appears at the back of this document. If the form has been removed, address your comments to:

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Table of Contents

Tables

PREFACE About This Document

This document describes how to ensure that a project conforming to the MITP standards also conforms to the relevant ISO9000 standards.

For information about the MITP life cycle, the key techniques, and the support techniques, see the MITP Handbook. A glossary of terms may be found at the back of the MITP Handbook

Who Should Read This Document

The 'you' in this document is the Project Manager, but other people can read and extract useful information from it.

How to Use This Document

The table of contents provides a clear roadmap to the main topics outlined in this document. "MITP Standards" in topic 1.0 and "ISO9000 Standards" in topic 2.0 describe the method."MITP Conformance Process" in topic 3.0 describes a suggested MITP conformance process.

ISO9000 Control Information

The owner of all MITP Version C5.0 material is Allturn Group International.

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1   MITP Standards

MITP standards are a vital component of MITP for two key reasons:

- They are the basis for quality, so that projects can conform to, for example, ISO9000 or Baldrige standards.
- They provide consistent guidance to Project Managers worldwide.

The MITP standards are a set of disciplines imbedded in the MITP Handbook.

Subtopics
1.1   MITP Objectives
1.2   Further Information
1.3   MITP and ISO9000 Conformance Checklist

1.1 MITP Objectives

MITP provides a consistent method for project managers. This brings clear benefits of scale:
- Maintaining and using a single method rather than many
- Being able to use Project Managers more efficiently.

The MITP objectives and processes are similar to the quality objectives and processes described in "ISO9000 Standards" in topic 2.0. In an individual project, assuming that the infrastructure exists, the emphasis is on the use of the standards, and being able to prove that they are being used. This is really about being able to answer simple questions such as:
- Is there commitment to the project from management and participants? (see the Project Endorsement Guide).
- Is everything about the project precisely defined? (see the Project Definition Guide).
- Is everything documented clearly and signed? (see the Project Control Book Guide).
- Are there control mechanisms, feedback, corrective actions? (see the Exceptions Management Guide and the Progress Tracking Guide).
- Are all these things demonstrable?

In many management systems, the emphasis is on people following a process step by step. In MITP, because every project is different, and each project environment is different, the processes and procedures for managing the project are tailored, while maintaining the overall quality objectives and disciplines.

Like other quality systems, MITP uses an external reviewer to check conformance. The following checklist of questions for the reviewer has no simple yes or no answers. The reviewer (who should be an experienced Project Manager) must apply considerable skill and judgement in making the assessment. The reviewer will need to understand the project environment, interview participants, and study the Project Control Book (PCB), which is the key repository of project documentation.

1.2   Further Information

The following documents contain further information related directly to MITP and ISO9000 standards:

- MITP Handbook
- Project Control Book Guide
- Quality Management Guide.

1.3   MITP and ISO9000 Conformance Checklist

Table 1. MITP and ISO9000 Conformance Checklist

Question	Y/N	Comments
1 Scope and Objectives		
1.1 Is the scope of the project defined - items to be included in and excluded from the project?		
1.2 Is the scope approved by the Project Manager and Manager Sponsor?		
1.3 Are the project goals and objectives defined? Have they been communicated to all project members?		
1.4 Are the goals and objectives agreed by the Project Sponsor and Project Manager?		
1.5 Has the scope and objectives of any subprojects been clearly defined, documented, and agreed?		
1.6 Are the interdependencies of any subprojects within the total project clearly defined and documented?		
2 Organization and People		
2.1 Is there an agreed organization and people management chart in place? Does it reflect the work structure?		
2.2 Is there a Project Manager, Project Sponsor, and key Subproject Managers in place for the project?		
2.3 Is the project organization updated to reflect the current ownership, responsibilities, and activities being undertaken?		
2.4 Are agreed, up-to-date job roles and responsibilities in place for all project members?		
2.5 Do specific work instructions exist for all project members?		
2.6 Have you completed the health and safety checklist?		
2.7 Have you documented any health and safety concerns and taken action on them as appropriate?		
3 Planning and Estimating		
3.1 Is there a detailed, up-to-date, and		

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committed work plan at project and subproject level for all project activities?

3.2 Are delivery dates for major deliverables identified in the plans?

3.3 Are there documented and validated estimates for all project activities?

3.4 Have all project and subproject plans and estimates with all assumptions been agreed by the Project Manager and Project Sponsor?

3.5 Is there a documented procedure in place for reviewing all project plans?

3.6 Has the appropriate amount of resource been identified for the project?

4 Work Breakdown Structure and Deliverables

4.1 Is there a work breakdown structure for the project?

4.2 Is there a complete up-to-date definition of all project deliverables (internal and external)?

4.3 Have the tasks required to produce each deliverable been broken down to the lowest level needed to manage the project?

4.4 Has responsibility for each project task or work package been allocated?

4.5 Has responsibility for each deliverable been clearly assigned and accepted?

5 Progress Management

5.1 Are milestones defined for the overall project?

5.2 Is there a documented procedure in place for tracking milestones?

5.3 Is there a documented procedure for monitoring the progress of all deliverables?

5.4 Is there an up-to-date status for each deliverable?

5.5 Are the completion and acceptance criteria for each deliverable agreed and

documented?

5.6   Have the appropriate progress reporting mechanisms been identified, documented, and agreed:

- At project level?
- At subproject level?
- With the client?
- With any suppliers?

5.7   Is internal and external project status reporting accurate and up-to-date?

5.8   Have the appropriate progress reviewing mechanisms been identified, documented, and agreed, for example:

- Project Sponsor's review?
- Project manager's review?
- Subproject Manager's review?
- Steering committee or progress
- Client review?
- Supplier review?

5.9   Are records kept of these reviews?

6 Risk Management

6.1 Is there a documented risk management procedure that identifies, reviews, and approves any risks to the project?

6.2   Has a risk assessment of the project been performed covering:

- Identification of each risk?
- Analysis of the potential cost, probability and severity of each risk?
- Actions proposed to minimize the impact of each risk?

6.4 Have all identified risks, probabilities, costs, and agreed actions been agreed by the Project Manager and Project Sponsor?

6.5 Is there an up-to-date risk containment plan in place?

6.6 Have all project assumptions and dependencies been identified and documented?

6.7 Is a documented procedure in place to ensure periodic review

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of all project assumptions and dependencies?

7 Change Management

7.1 Is there a documented change management procedure that identifies, reviews, and approves any changes or modifications to the project?

7.2 Are all changes to the project processed by the change management procedure?

7.3 Is approval given at appropriate level to each change?

7.4 Does the client approve all pertinent changes?

7.5 Are the project plans regularly updated to reflect agreed changes?

7.6 Do the Project Manager, Project Sponsor, and client fully understand the cumulative impact of all accepted changes?

8 Issue, Problem, Error, and Fault Management

8.1 Is there a documented issue management procedure that identifies, reviews, and approves any project issues?

8.2 Are all project issues processed using the issue management procedure?

8.3 Have owners and actions been assigned to each issue for resolution?

8.4 Are issues raised by or to the client documented and resolved?

8.5 Do your procedures ensure that any out-of-line situations and discrepancies within the project are promptly identified, recorded, evaluated, segregated if necessary, and notified to all parties concerned?

8.6 Is the responsibility for out-of-line situations defined in job descriptions and procedures and do they show what action should be taken with any deliverables that are found to be unsatisfactory or in error?

8.7 Do you have procedures which ensure the causes of nonconforming products, out-of-line situations or client complaints are investigated, analyzed and understood and that corrective and effective action is taken to prevent recurrence?

8.8 Are all exceptions (issues, changes, faults, errors, and problems) reviewed regularly to reassess their potential impacts and actions?

8.9 Have all exception logs been updated to reflect the current status of all project issues, changes, faults, errors, and problems?

9 Quality Management

9.1 Is there an agreed quality plan in place for the project that defines:

- Project quality objectives?
- Project quality records?
- Standards and acceptance criteria for project deliverables?
- Processes for checking the continued viability of the project?
- Timetable for review of deliverables and processes against standards and acceptance criteria?
- Assurance reviews?

Recording of all quality activities?

9.2 Is the quality plan up-to-date?

9.3 Are all project members familiar with the whereabouts and content of the project quality plan?

9.4 Are the retention times of all the quality records established and documented?

9.5 Do all your project procedures contain the following information:

- Title
- Author
- Owner

- Document number
- Approval
- Publication date
- First release date
- Previous revision date
- Next revision date
- Distribution information where applicable
- Draft version where applicable?

9.6 Do all your project forms contain the following information:

- Title
- Author
- Owner (if not the author)
- Document number
- Approval
- Date
- Distribution information where applicable? ¦ ¦ ¦

9.7 Are all your forms FINAL or ISSUED (as opposed to DRAFT) documents?

9.8 Have all obsolete documents been removed from all points of issue or use?

9.9 Do you have a disaster recovery plan for your project quality records and your project deliverables?

9.10 Have all noncompliances and observations from previous MITP conformance and all other assurance reviews been actioned?

9.11 Do you review the suitability of any measurements you have in place and the statistical techniques used to produce them?

9.12 Do you use the statistical techniques to analyze causes of problems and start process improvements?

10 Finance Management

10.1 Is there a business case covering project costs and benefits for the project which has been approved by the Project

Manager and Project Sponsor?

10.2 Is there an agreed financial plan and budget for the project?

10.3 Is there a documented procedure in place for reviewing and updating the business case and financial plan?

10.4 Have billing and time recording procedures been agreed and documented?

10.5 Is there a documented procedure in place to track to resource usage, such as manpower used or effort remaining?

11 Contract Management

11.1 Is there an approved agreement with the client in place?

11.2 Are client expectations defined?

11.4 Is ownership of all project assets (hardware and software) clearly defined, documented, and agreed?

12 Supplier Management

12.1 If you subcontract the provision of your service, is there an approved document of understanding or agreement in place?

12.2 Have the suppliers been validated to establish their financial viability and past track record?

12.3 Has their proposed solution or service been fully reviewed and validated?

12.4 Are all issues raised by or to the supplier documented and resolved?

12.5 Have billing and time recording procedures been agreed and documented with all suppliers?

12.6 Are all appropriate internal documents of understanding or service level agreements in place and effective?

12.7 Are there quality assurance procedures in place to check the deliverables of all suppliers?

2 ISO9000 Standards

MITP is designed to conform to the ISO9000 quality standard. This topic provides guidance on maintaining the standard.

Subtopics
2.1   Overview
2.2   ISO9000 Summary
2.3   ISO9000 and MITP - Relative Positioning
2.4   Complying with ISO9000

2.1   Overview

- It is a key responsibility of all project personnel to understand the basics of the ISO9000 standards and to:
  - Understand their own responsibilities and authority and know how these support their manager's mission and their company quality policy
  - Follow the agreed procedures as defined in their quality management system (QMS)
  - Know how to access their QMS and find relevant documentation
  - Have access to their own procedures and work instructions as appropriate.
- You can find the full text of the ISO9000 standards through your company quality department.
- The ISO9000 standards may also be referred to by alternative names, for example, ISO9000/1/2/3 (the international standard) and AQAP (the NATO standard).
- It is essential for all project management personnel to understand that MITP is the QMS for Project Managers and relates to all project work. You must follow the MITP techniques throughout the life cycle of a project.

2.2   *ISO9000 Summary*

The ISO9000 standard is divided into 20 sections, each dealing with an important aspect of business organization and management. The following provides a brief overview of each, together with selected examples of its applicability.

- Section 4.1 - Management Responsibility
  This section deals with the definition and documentation of quality policy and the organization, responsibilities, and authority of all those involved with producing the service. It also sets out the requirement for effective management reviews.

  Project examples could be organization and people management charts, roles and responsibilities, quality audit reports, the project definition report, and the project completion report.
- Section 4.2 - Quality System
  This section identifies the need for a documented quality system to ensure that the product or service conforms to the specified requirements.

  Within a project, the PCB demonstrates that there is a QMS in place for the project. The project quality plan is an essential document for ensuring compliance to this section of ISO9000.
- Section 4.3 - Contract Review
  This section deals with the necessity to establish and maintain procedures for verifying that obligations in the contract with the client could be met.

  Project-based examples could be internal service level agreements and documents of understanding with the client.
- Section 4.4 - Design Control
  This section specifies the need for procedures to control and verify the design of the product or service. The requirement covers control of design changes in response to requirement changes.
-
  Within a project, this refers to the design of all deliverables produced by the project and their match to the client's requirements.
- Section 4.5 - Document Control

  This section sets out the guidelines for document controls. Documents can be defined as project products subject to version control. It designates the requirements on document approval and issue, changes and modifications, and the removal of obsolete material. It also specifies the requirements for controls on the pages of documents.

  All documents relating to a project are subject to these rules without exception. The PCB should be the repository of all project documentation.
- Section 4.6 - Purchasing
  This section sets out the guidelines required for purchasing a product or a service from an external supplier. The product or service must be properly specified and obtained from suppliers who can meet the required standards.

These standards refer to any type of product or service purchased within the project. This section also prescribes necessary record keeping.

- Section 4.7 - Purchaser-Supplied Product
  This section sets out the requirements for procedures for the verification, storage, and maintenance of items supplied by the client. These might include hardware, mandated software, documentation, and data.

  It would apply to any project where a solution is being developed for a client that includes components provided by the client.

- Section 4.8 - Product Identification and Traceability
  This section relates to the need to maintain procedures for relating a product or service back to an original specification during all stages of its life cycle. The section covers traceability of changes as well as original requirements.

  In a project, it should be possible to trace any product or service delivered, back to its requirement.

- Section 4.9 - Process Control
  This section deals with the requirement to define processes to ensure that the quality of the product or service is safeguarded. It covers the need for documented work instructions and criteria for workmanship and for regular documented reviews.

  Specific project documentation would include the process descriptions together with evidence of their approval and observance. Verification of the adequacy of code generators might be a relevant example.

- Section 4.10 - Inspection and Testing
  This section covers the inspection and testing requirements for all products or services. All deliverables must be tested at all appropriate stages of their development. Records must be kept of these tests. Testing here includes verification of incoming products from suppliers.

  Specific project documentation could include entries on the project plan, within the work breakdown structure, a testing plan, or perhaps milestone references. The standard requires evidence of testing as well as plans.

- Section 4.11 - Inspection, Measuring, and Test Equipment
  This section defines the rules governing any inspection or testing equipment, including testing tools and test databases.

  This section will only apply to projects where this type of equipment is used. In these instances, inspection or calibration records should be available that show that items achieve their intended purpose.

- Section 4.12 - Inspection and Test Status
  This section defines the standards for designating the inspection and test status of a product or service. The fate of any failed tests should be traceable.

  Within a specific project, all deliverables should be subject to adequate methods of indicating whether or not they have been tested and meet the specified requirements.

- Section 4.13 - Control of Nonconforming Product
  This section defines the need for procedures that ensure that if a product or service does not meet the specified requirement, it is not used or used only after risk assessment identifies potential problems.

Within a project, it could apply to a deliverable that does not meet the required specification or which is damaged in some way. "Error and Fault Management" in the PCB should contain a procedure on how such an instance is dealt with. Progress management documentation would also apply.

- Section 4.14 - Corrective Action
  This section defines the need for procedures that ensure that a nonconforming product is investigated and corrective action taken. It also covers the need to introduce controls to start change procedures. Nonconformity may become evident in testing, change requests, client complaints, audit failures, or satisfaction surveys.

  Within a project, relevant documentation could be the issue log and procedure, change management documentation, risk documentation, and copies of reviews and minutes of meetings, together providing traceability that preventive action was effective.

- Section 4.15 - Handling, Storage, Packaging, and Delivery
  This section defines the requirement for procedures for handling, storing, packaging, and delivery of the product or service. It relates to release management, library and data backup, duplication, and distribution of code to more than processor.

- Section 4.16 - Quality Records
  Quality records are the evidence of observance of quality management procedures. This section defines the need to maintain quality records in respect of identification, filing, retention, and removal. The Standard itself mandates certain records, see, for example, sections 4.3, 4.4, 4.6, and 4.10 through 4.14.

  The PCB should be the repository for all project quality records.

- Section 4.17 - Internal Quality Audits
  This section defines the need for a comprehensive system of planned and documented internal quality audits within the Supplier's organization, that is, you and your department when engaged in project management. In the project context, this requirement is met by MITP conformance reviews

- Section 4.18 - Training
  This section covers the need to ensure that all staff are properly trained to carry out their work. Records should be kept of both formal and 'on-the-job' training.

- Section 4.19 - Servicing
  This section requires procedures to be in place when a contract covers support of project products for ensuring that servicing meets the specified requirements.

  This will only apply to projects where servicing is part of the requirement.

- Section 4.20 - Statistical Techniques
  This section requires that statistical techniques are put in place to identify trends and the need for process changes, training, and so on, that would not be readily evident from single instances.

  Specific project documentation would include any statistical charts, graphs, or measurements, for example, milestones or GANTT charts, together with the action plans and resolution.

2.3 ISO9000 and MITP - Relative Positioning

The following provides a basic comparison of and bridging between ISO9000 and MITP standards:

ISO9000 Standard	MITP Standard
1. Intent	
To give future clients confidence in your ability to meet contractual obligations.	To use a standard set of practices to ensure a consistent approach to all client projects in a wide range of environments.
	The MITP framework will help clients to manage the introduction of new technology to effect change successfully in their business.
2. Obligatory	
For client business. Global - basic standard for everyone.	For all projects. Basic standard for everyone unless client specifies otherwise.
3. Measurement	
Pass or fail at company level(external). Internally, departments or functions are assessed and given red, amber, or green status	Internally, projects are assessed and given red, amber, or green status for reporting and improvement purposes.
4. Recognition	
External registration (U.K., Europe, international)	Internal to your company
5. Assessment	
External:	Internal:
• Undertaken by external accredited reviewers	• Review by one of your peers
• One time assessment and ongoing maintenance(registration can be taken away)	• Internal reassessment (by senior management in your company).
• Unannounced reassessment.	
Internal:	
• Self-assessment	
• Peer reviews.	
6. What is it?	
Documented principles for a QMS:	Standard set of good project management practices.
Policy	
Organization	A project management QMS:
Responsibility	MITP Handbook
Authority	Key techniques
Processes	Support techniques
Procedures	PCB.
Standards.	

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Demonstrate in practice.	Demonstrate in practice.
Demonstrate capability to work to specification and defined standards (government and client).	Demonstrate capability to work to specification and defined standards.
Management responsibility - compliance.	Your responsibility - compliance.

2.4   *Complying with ISO9000*

The following contains important guidelines for ensuring that your project complies with ISO9000. Because of the different nature and varying complexity of projects, do not consider these guidelines as a complete list.

- Use the MITP conformance checklist to ensure that the project complies with MITP. If not, take the appropriate corrective action to address.
- If MITP is not being used, for example, the client has specified other techniques, ensure that the project complies with this method and that you can demonstrate compliance.
- It is mandatory for all projects managed using MITP that a PCB is set up. The PCB, along with the project quality plan, is the major tool through which you can ensure a project conforms to ISO9000.
- It is essential that all practicing Project Managers familiarize themselves with the PCB and documentation standards at the beginning of the Project Control Book Guide. This clearly sets out the standards required for all MITP documents. You should consider these standards as mandatory when maintaining project documentation.
- All documentation within a PCB should be regarded either as documents or quality records and should be maintained according to the standards set out in Section 4.5 (Document Control) and Section 4.16 (Quality Records) of the ISO9000 standard.
- Check that your documentation adheres to the following criteria:
   - Each document has a title.
   - Each document has a specified author.
   - Each document has a specified owner if different from the author.
   - Each document has a document number or filename to identify the source of the document.
   - Each document has been approved by those designated to do so where appropriate and the approvals are documented.
   - Each document is a FINAL document or has been ISSUED and is therefore subject to change control.
   - Each document is dated. This date is used to control versions. The date of first release, previous revision, and next revision should also be stated.
   - Where a document is a draft (it has not yet been agreed or approved), the date used is that when the particular version of the draft was made available for review.
   - All documents should include details of revision information, that is, information about the current version and the changes since the previous version. Where appropriate, a list of change requests (processed by the change management procedure) included in this version should be given.
   - Each document includes distribution information where appropriate
   - Each document should have every page numbered, dated, and titled.
- All quality records should have an identity, serial or reference number, originator, and date of preparation. Each type should have a designated retention period, filing structure or sequence and location, and these should be documented.

3   MITP Conformance Process

This topic defines a suggested MITP conformance process.

Subtopics

3.1   How to Register a Project

To register a MITP project:
- All projects should be registered with a central department at startup.
- It is the Project Manager's responsibility (or the Project Director's, where applicable) to inform the central department of the start of any new project at any of the following stages, preferably whichever comes first:
  - The client contract has been signed
  - The implementation of the project has commenced
- The following information should be provided:
  - The project title or identification
  - The name of the Project Manager and/or the Project Director
- The central department will register the project on the project list.
- The central department may provide the Project Manager with a hardcopy PCB for reference and as an aid to setting up the Project Office.
- The central department will ask the Project Manager or the Project Director to provide a status report (Red/Amber/Green) each month for purposes of management reporting.
- If the status of the project has changed from the preceding month, an explanation should be provided as to the causes of the change.
- Any project using MITP will be expected to carry out a MITP conformance review 30 days after the start of the project according to the MITP conformance process.
- Subsequent MITP conformance reviews will be arranged every six months until the project has been completed.
- The Project Manager should inform the central department once the project has been completed or closed. It will then be removed from the project list.

3.1.1   Project Status Definitions

There are three levels of project status:

G (Green)   Project under control and client satisfaction is good.
A (Amber)   Project has problems but the Project Manager is taking the appropriate action to address them.
R (Red)   Means one of the following:
- Project out of control and urgent additional support required from the Project Manager.
- The Project Manager is facing considerable, but known challenges.

3.1.2   MITP Conformance Project Status Definitions

There are three MITP conformance project status levels:

G (Green)   Low Risk. Project conforming to MITP standards with no noncompliances.
A (Amber)   Medium Risk. Project needs attention - one noncompliance or observations.

R (Red)   High Risk. Project not in conformance with MITP standards - several noncompliances.

3.2   *Conformance Review Process*

3.2.1 Objectives

The objectives of the MITP conformance review process are to ensure that:

- The project complies with MITP standards.
- An early warning mechanism exists for identifying common and recurring project framework deficiencies.
- Corrective action plans to improve MITP-managed projects are implemented and communicated.

3.2.2   Overview

- All projects will be reviewed for conformance to MITP standards.
- The reviews will be performed by independent peer reviewers and held with the Project Manager and the Project Office.
- Peer reviewers will be drawn from the professional ranks of the project management community.
- Feedback and results of reviews will be addressed to the project manager and the reviewers' line manager.
- The Project Manager is responsible for corrective action plans. These should be approved by the peer reviewer to ensure that they are appropriate and followed through.

3.2.3   Scope

- Every project within the project management community will be reviewed for compliance to MITP standards. For established projects the review schedule is available from the central department.
- All new contracts (projects) should automatically schedule conformance reviews as a fundamental activity within the project implementation plan. Initial reviews will be carried out within 30 days of the contract start date and/or client signature. Subsequent reviews will be scheduled by the reviewer and within the following guidelines:

Project Duration	No of Reviews/Frequency
0-6 months	One (initial only)
6-12 months	Two (initial and one at six months)
> 12 months	n (initial plus annually)

- Use the conformance checklist ("MITP and ISO9000 Conformance Checklist" in topic 1.3) as a basis for the conformance reviews.

3.2.4 Review Techniques

- Reviewers will be drawn from the professional ranks of the project management community and as such, they will be experienced in project management techniques.

- The reviewers will use the MITP conformance checklist as a basis for the review to ensure that MITP standards are covered fully. If the Project Manager's response is:
  - YES - ask to be shown.
  - NO - ask to see action plan.
  - N/A - ask why. If the work concerned is delegated then ask how it is controlled.

3.2.5 Responsibilities

3.2.5.1 Coordination and Monitoring
- Coordination and monitoring of the MITP conformance program is the responsibility of the central department. Responsibility is delegated to the conformance coordinator, who has the following responsibilities:
- Recruitment of reviewers
  Reviewers will be drawn from the professional ranks of project management.
- Maintain reviewers list
  A list of all authorized reviewers will be kept and maintained by the conformance coordinator.
- Maintain project lists
  A list of all projects will be maintained by the conformance coordinator. The list will form the basis of the conformance review schedule. The Project Manager is responsible for informing the conformance coordinator of all new contracts or projects.
- Associated documentation
  The conformance coordinator establishes and maintains other associated documentation:
  - Conformance review procedures
  - Reviewers guide
  - Conformance checklist
  - Summary reports.
- Review feedback
  A log of all conformance review feedback will be kept.

3.2.5.2 Scheduling and Implementing Conformance Reviews
The Project Manager is responsible for registering and scheduling the initial conformance review for each new contract or project. Subsequent reviews for established projects will be scheduled by the conformance coordinator. The frequency is determined according to the duration of the project.
Project manager

Receives confirmation of contract signature and/or project implementation plan and notifies conformance coordinator of contract details. The conformance review date should then be completed within 30 days of the contract start date/client signature. Make yourself available for the review.

Conformance coordinator

Logs project details, type of review and the planned conformance review date. A reviewer from the authorized list will be selected and requested to initiate the conformance review.

Conformance reviewers

> Contact the Project Manager to establish specific review times, areas to be reviewed and to arrange appropriate escorts and so on, if required.

The review will be conducted with the Project Manager and the Project Office staff. The conformance checklist is used as a basis for the review. Document any observations are found using the form shown in "Observation Report Form" in topic 3.4.

3.2.6 Reporting Review Findings

- Once conducted, the reviewers evaluate all observations to decide whether or not a noncompliance exists. A summary report is written. The report should be formally agreed and signed off by the project manager and reviewer.
  The report should be circulated to the Project Manager, services line manager, and conformance coordinator.
    - Conformance Reviewers

      > Evaluate all observations to decide whether the observation constitutes a noncompliance against MITP standards. Initiate a summary report of review findings. Circulate as above.

    - Conformance Coordinator

      > Receives report, logs review findings, and reviews completion date. Updates conformance review schedule and logs expected response date for the Project Manager's action plan.

    - Project manager

      > Receives and evaluates review findings. Decides on nature of action plan. Documents action plan, which should include:
      > - MITP section reference/noncompliance reference
      > - Description of corrective action to be taken
      > - Person nominated responsible for corrective action
      > - Specific target date assigned for completion of corrective action.

- If the Project Manager disagrees with any of the reviewer's observations, then a full explanation of his or her objections should be attached to the report.
- Response to summary report should be made within seven days.

3.2.7 Corrective Action

Once the assessments have been completed, the MITP conformance status of the project will be assessed by the conformance coordinator and projects will be categorized as follows:

Green (G)Status   Project conforms to MITP standards with no noncompliances.
Amber (A) Status   Project needs attention - one noncompliance or observation.
Red (R) Status   Project does not conform to MITP standards - several noncompliances.

Noncompliances should be addressed within one month and observations within three months.

The Project Manager is responsible for corrective action and will be monitored by the reviewer and the conformance coordinator to completion.

Project Manager
Ensures that all corrective action is taken by the due dates. The Project Manager must inform the reviewer and conformance coordinator that corrective action is complete or if revised completion dates are required.

Conformance Reviewers
Follows up against the action plan due dates to ensure completion and appropriateness of corrective action. Completion status or any revision of due dates should be reported to the conformance coordinator.

Conformance Coordinator
Monitors each review status for both overdue MITP reviews and action plans. Receives and updates status of individual MITP conformance reviews.

3.3   MITP Conformance - Guidance for Reviewers

The following section can help reviewers when assessing project conformance to MITP standards. It contains guidance notes on the practice of quality auditing and for communicating observation, noncompliance and summary report findings.

"MITP and ISO9000 Conformance Checklist" in topic 1.3 contains a checklist for assessing conformance to MITP and ISO9000 standards.

3.3.1 Conformance Overview

MITP is the QMS for Project Managers with regard to all aspects of project work. The MITP conformance review ensures:

- The coordination and monitoring of all aspects of the MITP conformance assessment program.
- The scheduling and implementation of regular conformance reviews of the MITP standards.
- Assistance with the resolution of MITP quality system noncompliances.
- Monitoring the implementation of the Project Manager's action plans to ensure ongoing compliance to MITP standards.

The basis of the process is:

- Reviews are conducted with the Project Manager and the Project Office staff.
- Schedules are drawn up in advance and a minimum notification of one week for an intended review given.
- Reviews last approximately two to three hours.
- The scope of the review does not include any parts of the project for which the client is responsible.
- Summary reports are communicated to the Project Manager. Response is required within seven days.
- Corrective action is the responsibility of the Project Manager but should be approved by the reviewer.

3.3.2 Guidance for Reviewers

- MITP conformance reviewers should have the following skills:
- Know the MITP standards and be able to interpret them in varying differing situations.
- Accept the philosophy and principles of quality assurance.
- Have appropriate experience in the technology or administration of the areas being examined.
- Be able to use questioning techniques and to compile clear, concise, and objective reports.

3.3.2.1 Preparation for the Review

At an early stage reviewers should:

- Contact the Project Manager to establish the scope of the project to be reviewed and the date and time of the review.
  A review should take approximately one day's effort. Allow half a day for performing the review and half a day for completion of all reports after the review. Allow the appropriate time for any follow-up actions.
- Obtain a copy of the MITP conformance checklist.
- Arrange for escorts or a guide where necessary.
- Confirm arrangements in writing. The conformance coordinator acts as an intermediary when necessary.

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3.3.2.2 The Review

When carrying out the review, ensure that you:

- Do not enter any project area without prior clearance.
- At the start of the review, it may be useful to ask the project manager to provide a brief overview of the project as background to the assessment.
- Use the MITP conformance checklist as the basis for all reviews.
- Complete the checklist in one of the following ways:
    - Hardcopy
        For some reviews, you can use the hardcopy version only as a means of recording the responses.
    - Soft-copy
        For most reviews, there is not enough space on the hardcopy checklist to record all the relevant responses. You must therefore use the hardcopy checklist during the review as a reference document, making notes separately where necessary. After the review, the checklist may be updated using a PC-based word processor and completed as appropriate. This allows scope for editing the amount of space available to record each response.
    - Both methods (hand written or word processed) of recording the review are acceptable.
- Check that audit trails exist.
    An audit trail is a record that makes it possible to reconstruct a series of related events. The record consists of such items as agreements, identification of participants, approvals, control reports, copies and summaries of output and any other items necessary to make a complete history. The MITP PCB will be the basis of all audit trails within a project. Specific examples of following through audit trails could be:
    - Examine written procedures and then check that the project is adhering to these by requesting to see specific items mentioned within the procedures. For example, change management procedure and change request forms and change log.
    - Examine minutes of meetings and check that action points have been followed through.

3.3.3 Reporting

3.3.3.1 Observations

- Note as an observation any aspect of the reviewed project that is deemed noteworthy. For example, that there is no issue management procedure in place.
- It may be helpful to note that any question receiving a negative response, may lead to an observation being recorded.
- The observation should not be considered a statement of noncompliance at this stage. It is merely a record that something has been observed. Observations may be confirmed as noncompliances at a later stage on a form like the one shown in "Observation Report Form" in topic 3.4.

3.3.3.2 Summary Report

- When the review is complete the observations are reviewed by the reviewer to decide if they indicate noncompliance to MITP standards.
  The reviewer must agree all observations and their categories with the Project Manager before leaving the project site.
  - A noncompliance may be defined as a major exposure against MITP standards, for example, that there is no quality plan in place.
  - An observation may be defined as a minor exposure against MITP standards, for example, that there is an organization and people management chart in place but it is not completely up-to-date.
  - Further guidance may be obtained from the conformance coordinator if there is any doubt into which category an observation falls.
- At this stage a summary report of the review should be written.
  Ideally, the report should be written at the same time as the review, so that its contents may be agreed immediately. However, this might not be feasible, particularly with reviews where there are many comments to be recorded. However, the report should be written and agreed within five working days of the review taking place.
- The report should be quantitative, concise, objective, and based purely on the audit trail detail reports, observations, and agreed noncompliance details.
- The following items should be recorded:
  - Date of review
  - Attendees
  - Project areas reviewed
  - Observations, which should include the following:
  - Classification as noncompliances or observations
  - MITP conformance checklist question number
  - Requirement statement - this will be the guide to the necessary corrective action to be taken by the Project Manager.
  - Conclusion, which should also include any positive comments about the reviewed project.
- State a specific target date by which a formal reply to the findings is required. This should be no later than seven working days after the report has been published.
- The report should be formally agreed and signed off by the project manager and the reviewer.
- If the Project Manager disagrees with any of the reviewer's observations, then a full explanation of his or her objections should be attached to the report.

- A copy of the completed checklist, report, and formal agreement should be sent to the conformance coordinator.

3.3.4 Corrective Action

The Project Manager should review the report and all noncompliances.
A decision on the nature of the corrective action should be taken and an action plan documented and communicated to the MITP reviewer.

The documented action plan should include:
 - MITP section and noncompliance reference
 - Description of corrective action to be taken
 - Person nominated responsible for corrective action
 - Specific target date assigned for completion of corrective action.

Response to the summary report and subsequent action plans will be monitored by the reviewer to completion. This may include revisiting the project to ensure all committed actions have been carried out and have been effective.

3.4 Observation Report Form

Date	Report no	MITP ref:
Observations		
Comments (Required Statement)		

Index

Readers Comments

MITP
MITP and ISO9000 Standards and Conformance Guide
Version C5.0

Publication No. MICG1STA

Overall, how satisfied are you with the information in this book?

Legend:
1   Very satisfied
2   Satisfied
3   Neutral
4   Dissatisfied
5   Very dissatisfied

	1	2	3	4	5
Overall satisfaction					

How satisfied are you about the information this book contains:

	1	2	3	4	5
Accurate					
Complete					
Easy to find					
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