

CHECK-LIST

Audited project phases:	Project origin
Auditor:	
Project name:	
Prepared by:	
Date:	

Instructions for completion:

When filling in the Checklist think about the actual contents of the audited documentation; the contents of an appropriately named document must not necessarily correspond with the needs of project management. If you are not sure about some of the terms used, consult the dictionary of terms - see Methodology for Substantial Project Audit, Chapter 13.

Checklist items:

- **Level of compliance:**

To say "YES", the step must be carried out within the extent corresponding with the respective project. "PARTLY" means that the respective step is not sufficient to be used for the purpose of project management. "NO" is used if the document or described step of project management did not take place, or e.g. the prepared document could not be efficiently used for project management.

- **Reasons for non-compliance:**

Non-compliance reasons must always be evaluated from the project manager's point of view – why the project manager did not make the respective step or why the step was not made.

- **Impact on project objectives and the overall efficiency of project management:**

If according to the auditor the step was not carried out properly – assess the impact of this specific case on the quality or quantity of important project outputs or results, and on the compliance with terms and if, as a direct consequence, the project or its individual activities took longer and if this failure had an impact on project finances – income, expenditure, cost, revenue, budgeted items, etc. At the same time you should assess if the insufficient performance of the evaluated step resulted in a lower efficiency of the project management – e.g. prolonged negotiations with suppliers or team members, a significantly higher number of interventions in project implementation by the steering committee, too much correction and corrective measures or any other types of changes.

- **Proposed measures in the audit report:**

Fill in your recommendations for the implementation of similar projects in the future in the last column – how to proceed better next time – e.g. amending the general model of project management, amending and introducing a suitable template, amending certain documents, including other persons or interest groups into the implementation of similar projects, etc.

Interview – checklist additional questions

If there is an additional question for a Checklist question, you will find it in the next part under the same number as the number of the checklist question. These questions are used for a more detailed analysis of the given topic.

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance ¹	Impact on project objectives (outputs, deadlines, budget) and the overall efficiency of project management	Proposed measures in the audit report:
				YES	PARTLY	NO			
1	X	Was the analysis of the existing status carried out and were any problems identified to be solved within the organisation?	YES						
2		Is there a document entitled "Current Status Analysis" or any other document analysing the current status?	YES						
3		Providing there was more than one problem identified in the organisation, were priorities determined?	NO						
4	X	A project objective was determined – was WHAT will be created by the project determined?	YES						
5	X	A project objective was determined – was WHEN it will be created determined?	YES						
6	X	A project objective was determined – was FOR HOW MUCH it will be created determined?	YES						

¹If you stated that the criterion was completed partially or it was not completed at all, please state the reason for non-compliance – e.g. we did not know that this must be done/created; We did not need to do/create this; We forgot about this process/document; The extent of the project did not require this process/document; Lack of time; Done only partly, but based on our experience it is enough; Done only partly, but must be done in a more complex manner; or state some other reason.

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance í¹	Impact on project objectives (outputs, deadlines, budget) and the overall efficiency of project management	Proposed measures in the audit report:
				YES	PARTLY	NO			
7		Did the contracting authority specify the determining axis for the project objective – created products (WHAT)? or time (WHEN)? or costs (FOR HOW MUCH)?	NO						
8		Was a deed of foundation for the project created and approved (contracting authority, project manager) – min. content – project objective (when, for how much, what), appointment of the project manager, definition of basic expected benefits?	YES						
9	X	Was a project manager and a project team appointed?	YES						
10	X	Was it approved/not approved that the project would be transferred into the next phase?	YES						
11	x	Is the documentation from the project origin phase available in the quality required?	NO						

INTERVIEW – ADDITIONAL CHECKLIST QUESTIONS

Audited project phases:	Project origin
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Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1.	Which problems are addressed by the project?	Contracting authority Project manager	
1.	Why did you decide to use the project to address this problem? Is it a project?	Contracting authority Project manager	
4, 5, 6	Which questions did you ask yourselves when determining project objectives? Which benefits does the contracting authority hope to achieve based on the project implementation?	Project manager, Contracting authority	
8.	Who made the decision to found the project?	Contracting authority Project manager	
8.	Was this step approved by a competent (higher) authority?	Contracting authority Project manager	
9.	Who decided and how who will be appointed a project manager (this question helps to establish if it was the school management, the contracting authority or the project team who decided who the project manager should be; was the project manager appointed or elected, etc.)?	School management Contracting authority Project manager	
10.	Who approved the transfer of the project into the next phase?	Contracting authority Project manager	

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
Next questions	Is there a link between project objectives and the vision and strategic objectives of the organisation?	Contracting authority, Project manager	
Next questions	How did you found the project?	Contracting authority Project manager	
Next questions	Is this project a continuation of another project, or is it expected that another project will follow and therefore it is conditioned by this project (project programmes)?	Contracting authority Project manager	

List of possible audit documentation

Audited project phases: Project origin

- Meeting minutes
- Deed of foundation of the project, project dispatch note, basic project information, etc.
- Project manager appointment (e-mail, record, document)
- Analysis of the current status, preliminary analysis of the status, problem identification
- Documents bearing different names which are relevant in terms of their contents