

## CHECK-LIST

<b>Audited project phases:</b>	<b>Project design</b>
<b>Auditor:</b>	
<b>Project name:</b>	
<b>Prepared by:</b>	
<b>Date:</b>	

### 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 <sup>1</sup>	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 objective defined in accordance with SMART conditions (see the dictionary)?	YES						
2		Did you set up expected benefits of the project in connection with project objectives?	YES						
3	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – expected project benefits	YES						
4	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – project objective							
5	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – products/outputs							
6	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – main activities							

<sup>1</sup>If 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.

Methodology for substantive project audit  
Annexe 02

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance <sup>1</sup>	Impact on project objectives (outputs, deadlines, budget) and the overall efficiency of project management	Proposed measures in the audit report:
				YES	PARTLY	NO			
7	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – resource requirements							
8	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – framework budget							
9	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – expectations for project implementation							
10	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – indicators including metrics							
11	x	Was the extent and limits of the project defined? (e.g. using a logical framework matrix) – resources to verify indicators							
12	x	Were project risks determined; was a risk register created?	YES						
13		Was the stakeholders' analysis prepared (was it determined who has an interest in the project and how)?	YES						
14		Was a project communication plan (strategy) prepared?	NO						

Methodology for substantive project audit  
Annexe 02

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance <sup>1</sup>	Impact on project objectives (outputs, deadlines, budget) and the overall efficiency of project management	Proposed measures in the audit report:
				YES	PARTLY	NO			
15	x	Was a corresponding project organisational structure created?	YES						
16		Were the responsibilities and competencies of project team members determined?	YES						
17	x	Was the process for approving project changes defined?	NO						
18	x	Was it approved / not approved that the project would be transferred into the next phase?	YES						
19	x	Is the documentation from the project proposal phase available in the quality required (demonstrating individual steps of the proposal phase – see mandatory questions on the checklist)?	NO						

### INTERVIEW – ADDITIONAL Checklist QUESTIONS

**Audited project phases:** **Project design**

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1	Have you done any additional work on objective specifications? In how much detail was the project objective defined?	Project manager	
1	How did you verify if the objective complies with SMART objective parameters?	Project manager	
1	Who and how approved the project objectives?	Project manager	
2	Did you define the project benefits? How were the expected project benefits defined? What did the contracting authority hope to achieve from project implementation? Could the determined project objectives help to achieve expected benefits?	Project manager	
3, 4, 5, 6, 7, 8, 9, 10, 11	Did you define all activities and inputs leading to achieving project objectives? Did you discuss preconditions for achieving the objectives and if they can be achieved? How did you define the basic extent of the project (tools, technique)?	Project manager	
12	Did you address the risks connected with reaching the objective?	Project manager	
12	How did you define and analyse the risks? Did you adopt any measures to eliminate the risks?	Project manager	
13	Do you know the term "stakeholders' analysis"? How did you carry out the analysis?	Project manager	
13	Did you define stakeholders?	Project manager	
13	Did you introduce the outputs of this phase to anybody?	Project manager	

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
15	Who set up the organisational structure of the project? What is the size of the project team?	Project manager	
16	Do individual team members know their competencies and responsibilities?	Project manager, project team members	
18	Who approved the transfer into the next project phase?	Project manager	

## List of possible audit documentation

### Audited project phases: Project design

- Meeting minutes
- Logical framework matrix / Logical project framework, definition of the project extent
- Risk register
- Stakeholders ´ analysis
- Project organisational structure (organisational chart)
- Responsibility matrix
- Project communication plan
- Grant application, business plan, feasibility study, etc.
- Documents bearing different names which are relevant in terms of their contents