CHECK-LIST

Audited project phases:	**Project planning**
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 state "YES" it is essential that the step is made 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 the auditor thinks that 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, on the compliance with terms and if, in direct consequence, the project or its individual activities took longer or 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 decreased 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.

"Your career as a project manager begins here!"

INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

#	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 there a defined and approved detailed plan of the extent of the project (What will be created by the project)? – outputs, products, sub-products, work packages?	YES						
2	x	Were there clearly defined requirements for the quality of individual outputs, products, sub-products, work packages?	YES						
3		Was what does not constitute the contents of the project (what the project does not address) specified in detail?	YES						
4	x	Were all activities necessary to create individual work packages defined?	YES						
5		Do all activities have allocated resources (human resources, finance, etc.)?	NO						
6	x	Were persons responsible allocated to individual activities who were then responsible for the implementation of these activities and for the allocated resources?	YES						

---

[1]If you stated that the criterion was completed partially or it was not completed at all, 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.

"Your career as a project manager begins here!"

#	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			
7		Were there determined requirements for extent, quality and time accessibility of resources?	YES						
8		Was the length of individual activities estimated?	YES						
9	x	Was there a planned time schedule for the whole project (start and end of activities, their mutual interdependency, deadline for starting and completing the project, milestone deadlines)?	NO						
10		Were reserves identified for the implementation of individual activities?	YES						
11	x	Were key project activities identified (important activities, activities with a high level of risk, zero time reserve, etc.)?	YES						
12	x	Was there a detailed project budget that suited all persons implementing the project?	YES						
13		Were budget reserves for non-predictable risks identified?	NO						
14	x	One plan (document) has been created and approved for: Budget	YES						

INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

#	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			
15	x	One plan (document) has been created and approved for: Scope	YES						
16	x	One plan (document) has been created and approved for: Activities	YES						
17	x	One plan (document) has been created and approved for: Time schedule	YES						
18	x	One plan (document) has been created and approved for: Resources	YES						
19		Was there a procurement plan?	NO						
20		Was the risk register updated?	YES						
21		Did the composition of the project team change?	YES						
22		Was the project communication plan updated?	YES						
23	x	Do all members of the project team know the updated plan at any given moment?	NO						

pm 250+

"Your career as a project manager begins here!"

INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

#	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			
24	x	Was there a decision to move / not to move the project into the next phase?	YES						
25	X	Is the documentation from the project plan phase available in the quality required?	NO						

INTERVIEW – ADDITIONAL CHECKLIST QUESTIONS

Audited project phases:	Project planning

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1	Who participated in defining a detailed plan for the extent of the project?	Project manager	
2	Who defined the requirements for the quality of project products? Does the project manager know these requirements? Were these requirements clearly stated and are they clearly demonstrable?	Project manager	
3	Did the project contracting authority and the project manager agree on what is not covered by the project, what is not going to be addressed by the project?	Project manager	
4	Who defined project activities and how? Were there any problems while putting together project activities?	Project manager	
6	Do individual persons know which activities they are responsible for?	Project manager	
7	Are all resources available in the required quality, extent and at the time required? How did you address a lack of resources (if applicable)?	Project manager	
8	How did you estimate the length of activities, the overall length of project duration?	Project manager	
10	How did you identify time reserves and other reserves during the implementation of individual activities?	Project manager	
11	How did you identify key project activities?	Project manager	
12	How was the project budget put together; who participated in putting the budget together? Where there any problems when putting the budget together?	Project manager	

"Your career as a project manager begins here!"

INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
14, 15, 16, 17, 18	Do all team members know the project plans? Do they know where they can find the updated project plan?	Project manager	
20	Why did you update the risk register?	Project manager	
22	Why did you change the composition of the project team?	Project manager	
22	Why did you update the project communication plan?	Project manager	
24	Who and how was the decision to move / not to move the project into the next phase made?	Project manager	
Next question	Were the basic financial indicators of the project, e.g. the net current investment value, the current investment value, the payback period, the internal percentage yield (typically for investment projects) evaluated?	Project manager	

"Your career as a project manager begins here!"

List of possible audit documentation

Audited project phases: Project planning

- Meeting minutes

- Project baseline

- Project budget

- Project schedule

- Grant application, annexes

- Economic evaluation study of the project, business plan, CBA analysis, etc.

- Communication plan

- Risk register

- Organisational project structure, list of project team members

- Documents bearing different names which are relevant in terms of their contents

"Your career as a project manager begins here!"