

CHECK-LIST

Audited project phases:	Project implementation
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.

#	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		Was there a defined and approved procedure for project team management (formal appointment, extent of competencies, relationships between team members, communication, types of meetings, frequency of meetings, etc.)?	YES						
2		Was the project team communicating without any major problems?	NO						
3	x	Did project team meetings take place in accordance with stipulated rules?	YES						
4		Was there a defined and approved procedure for steering committee management (formal appointment, extent of competencies, relationships between team members, communication, types of meetings, frequency of meetings, etc.)?	YES						
5	x	Did steering committee meetings take place in accordance with stipulated rules?	YES						

¹If 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.

Methodology for substantive project audit
Annexe 4

#	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			
6	x	Was there a defined and approved method for procedure management, i.e. implementation of projects steps/phases in accordance with the time schedule, project (report on the implementation process, discrepancy report, etc.)?	NO						
7	x	Was there only one valid version of plans (documents) for the following part of the project implementation process? Budget	YES						
8	x	Was there only one valid version of plans (documents) for the following part of the project implementation process? Project extent	YES						
9	x	Was there only one valid version of plans (documents) for the following part of the project implementation process? Activity plan	YES						
10	x	Was there only one valid version of plans (documents) for the following part of the project implementation process? Time schedule	YES						
11	x	Was there only one valid version of plans (documents) for the following part of the project implementation process? Resource plan	YES						
12		Was the ongoing project progress monitored and reported (monitoring of drawing down of the budget, activities performance, etc.)?	YES						

Methodology for substantive project audit
Annexe 4

#	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			
13	x	Were at least the key project activities managed (important activities, activities with a high level of risk, activities with a zero reserve, etc.)?	NO						
14		Was the development of reserves (time, finances, materials and personnel) monitored during the implementation of individual activities?	NO						
15		Was there a defined and approved procedure for managing project changes (approval of process steps, approval competencies and competency limits, evidence of changes, border lines for changes)?	YES						
16	x	Were the implemented changes duly approved and documented pursuant to the determined rules?	YES						
17	x	Was there a defined and approved procedure for managing project risks (rules for monitoring risks, adopting measures to eliminate risks, method for informing about risk development, i.e. if there are any changes – risks have passed, new ones have emerged, etc.)?	YES						
18		Was the risk register updated?	NO						

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#	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			
19		Were the measures for eliminating risks taken?	YES						
20	x	Was the draw down of the project budget monitored, including the draw down of reserves?	YES						
21		Was there a defined and approved procedure for managing project results (monitoring outputs and compliance with planned indicators, quality of supplies and outputs)?	NO						
22	x	Was the quality and quantity of achieved outputs monitored?	YES						
23		Were contractual relationships arranged adequately to respect the requirements for the quality of outputs, deadlines and project budget?	YES						
24		Was there a defined and approved procedure for managing project documentation (extent and form of records, kept documentation, place of storage, distribution)?	NO						
25	x	Is the documentation from the project management phase available in the quality required?	YES						

Methodology for substantive project audit
Annexe 4

#	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			
26	x	Was there a decision to move / not to move the project into the next phase?	YES						

INTERVIEW – ADDITIONAL CHECKLIST QUESTIONS

Audited project phases:	Project implementation
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Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1.	Do you know what you can make decisions about and what is the task of each of the project team members?	Project manager	
3.	How often did project team meetings take place? Were there stipulated dates for project team meetings? Are there meeting minutes? What was the agenda of project team meetings? Did all members of the project team attend the meetings?	Project manager, project team members	
4.	Do you know what is the role of the steering committee in this project? Do you know who its members are? Do the members of the steering committee know about their tasks, competencies?	Contracting authority, project team members, Steering committee members	
5.	Is there a regular date set for steering committee meetings? What is discussed at these meetings? What information is passed onto the steering committee; how, and by whom?	Project manager, steering committee members	
7.	Can each member of the project team clearly define which plan version was valid at any particular implementation date? Can each member of the project team clearly identify what the topical valid version of key project plans is?	Project team members	
12.	Do project team members regularly communicate the actual status of project activities and individual outputs to the project manager? How? For example, are monitoring reports prepared, etc.?	Project team members	
15.	If it is necessary to make project changes, do team members know about the related processes?	Project team members	
16.	Do you have an overview of requested changes available? Do you know which were approved and which were turned down? How were the changes approved? How did you document the approved changes; which auxiliary documents did you use?	Project team members	
17.	How does risk management take place? Why do you monitor risks? How do you work with identified risks? When, how and to whom do you communicate risk development or arising new risks?	Project manager	

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
19.	Which measures have been taken in the project on the basis of the risk register or as part of project risk management?	Project manager	
20.	How was the project budget monitored and reported (changes, drawing down of the budget, drawing down of the reserves)?	Project manager	
22.	How do you monitor the results achieved and their qualitative characteristics?	Project team members	
23.	Were there any problems recorded during compliance with contractual obligations? If yes, what are they? How were the problems eliminated?	Project manager	
25.	What project records do you keep? How are they kept? Are you backing up your data? Who has access to the records and to whom do you pass information/reports on the current development?	Project manager	
26.	Who made the decision to move / not to move the project into the next phase?	Project manager	

List of possible audit documentation

Audited project phases: Project implementation

- Meeting minutes (project team, steering committee, individual teams), attendance sheets
- Project baseline (and its regular updates if relevant)
- Project budget (and its regular updates if relevant)
- Project time schedule (and its regular updates if relevant)
- Economic evaluation study of the project, business plan, CBA analysis, etc.
- Communication plan (and its regular updates if relevant)
- Risk register (and its regular updates if relevant)
- Organisational project structure, list of project team members
- Specified and detailed project plans linked to the baseline, budget, time schedule
- Continuous reports on project implementation (Monitoring Reports of all kinds, Progress Reports, Reports for project steering committee)
- Construction log or minutes from control days, attendance sheets from events
- Invoices, overview of the carried out work
- Draw down tables/tools to monitor the drawing down of the budget
- Photo documentation
- Documentation of changes (reporting changes including annexes)
- Handover and acceptance records
- Delivery notes
- Contracts and sub-contracts
- Project accounts
- Financial and tax reports
- Records in project file (electronic/printed)
- Documents bearing different names which are relevant in terms of their contents

