

## CHECK-LIST

<b>Audited project phases:</b>	<b>Project completion</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 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 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 i <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		Were project products delivered to the contracting authority?	YES						
2		Were project products (outputs, services) taken over by the contracting authority?	YES						
3	x	Were the following records made: a handover record, a record of completion or termination of services and an acceptance record?	YES						
4	x	Were project products (outputs, services) accepted by the contracting authority; was their quality accepted?	YES						
5	x	Were all planned outputs implemented, in what amount and quality?	YES						
6	x	Were projective objectives met?	YES						

<sup>1</sup>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 this/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 05

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance i <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		Were stakeholders informed about the fact that the project was completed?	YES						
8		Are minutes from the final meeting of the steering committee available?	YES						
9		Were the implemented processes, outputs (templates, forms) and the standard of work organisation evaluated during the whole project implementation process?	YES						
10	x	Did the audit team / project management propose recommendations for improving the organisation of work?	YES						
11		Was the project team officially dissolved?	YES						
12	x	Were the documents created and the procedures made during the project archived?	YES						
13		Were project outputs duly promoted to stakeholders?	YES						

Methodology for substantive project audit  
Annexe 05

#	Essential	Question	Additional question	Level of compliance			Reason for non-compliance i <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			
14	x	Was a final project report made? Is it duly stored?	YES						
15	x	Was the project a success, i.e. were project objectives met within the planned deadline using the stipulated finance, and were all stipulated indicators and outputs met?	NO						

## INTERVIEW – ADDITIONAL CHECKLIST QUESTIONS

<b>Audited project phases:</b>	<b>Project completion</b>
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Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1	Which products were handed over? When were the products handed over? Who were they handed over to?	Project manager	
2	Were all the products handed over accepted? When were the products accepted? Who accepted the products?	Contracting authority	
3	Where is the handover record stored?	Project manager	
4	Were acceptance criteria for the quality of the final product(s) clearly defined? Were these criteria known to the project manager? Were these criteria known to the contracting authority?	Project manager, Contracting authority	
5	Were all planned products implemented, and if not please state why not?	Project manager	
6	How was the projective objective defined? Why was the project objective not met? Which parameters of the defined project objective were met / were not met? Why?	Project manager	
7	Which groups were notified that the project was completed? How was the notice made?	Project manager	
8	Are the minutes from the final steering committee meeting filed? Were all committee members invited / did all committee members attend?	Project manager	
9	How were processes, outputs and the standard of work organisation evaluated during project implementation? Who participated in the evaluation?	Project manager	
10	Which measures to improve the organisation were proposed/implemented?	Project manager	

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
11	Were all members of the project team informed about the dissolution of the project organisation structure? How? Were they thanked for working on the project?	Project manager	
12	Where are the documents archived? Does the contracting authority know where the documents are archived? Who has access to the documents?	Project manager	
13	How were project outputs promoted? Which stakeholders was the promotion aimed at?	Project manager	

## List of possible audit documentation

### Audited project phases: Project completion

- Handover Record
- Acceptance Report
- Minutes from the final meeting of the steering team
- List of documents for archiving
- Press release, notices
- Final project monitoring report / Final payment request
- Delivery notes
- Attendance lists
- Documents bearing different names which are relevant in terms of their contents