CHECK-LIST

Audited project phases:	Overall evaluation of the project
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 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.

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#	Essential	Criterion	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	Did the project purpose originate in connection with the vision, and strategic and tactical objectives of the organisation?	YES						
2	X	Was the origin of the project supported by the top management of the project owner?	YES						
3	X	Did the composition of the project team reflect the needs of project management?	YES						
4	X	Did any of the risks stated in the risk register materialise[2]?	YES						
5	X	Did the proposed events help and made the project a success with regard to cooperation with stakeholders?	YES						
6	X	Was the hierarchical breakdown of the objective (e.g. by WBS) into work packages and products sufficient to achieve project objectives?	YES						

[1]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 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.

[2]Say YES if any of the risks were solved using a corrective measure or if a risk occurred unexpectedly when the project was running. The answer PARTLY is not relevant for this question.

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#	Essential	Criterion	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	X	Was an activity plan set up to ensure a trouble free implementation of the project and was it realistic in terms of time requirements for individual activities?	YES						
8	X	Were time schedules for activities set up in a realistic and suitable manner?	YES						
9	X	Was the structure for human resources and suppliers proposed adequately in view of the extent of the project?	YES						
10	X	Was the project budget set up in a suitable and realistic manner, did the reserve correspond with the risks?	YES						
11	X	Was the selected method of procedure management suitable and did it enable quality project management?	YES						
12	X	Was the selected system of monitoring of the achievement of outputs and meeting of project objectives suitable and did this system enable meeting the quality required?	NO						
13	X	Were project risks managed adequately and were risks of high importance or high probability eliminated as much as possible?	YES						

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#	Essential	Criterion	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			
14	X	Was the system of monitoring the implementation progress selected well and did it help meet project objectives?	NO						
15	X	Did the arrangement of contractual relationships support compliance with the qualitative, time and financial parameters of the project?	NO						
16	X	Is the project seen as a success? Were key success indicators achieved?	YES						
17	X	Did the project manager sum up the lessons learnt from the implementation of the audited project (the project manager ensured that corrective measures were prepared in response to the recommendations made by the audit team in their report) and did they hand over the lessons learnt to the school management to be used in other similar projects?	NO						
18	X	Did the project manager propose to update the methodology for project management in the organisation?	NO						
19	X	Have there been any significant project changes? Compare the project purpose and data on the achieved project objectives.	YES						

ADDITIONAL CHECKLIST QUESTIONS

Audited project phases:	Overall evaluation

Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
1.	How did the project idea come about? Who proposed the project preparation? How is the purpose linked to the organisation´s vision, and its strategic, tactical and operational objectives?	Contracting authority, project manager	
2.	Who supported project preparation from the beginning?	Contracting authority, project manager	
3.	If the project team did not reflect project needs, why not? Not enough members? Insufficient qualifications? Insufficient competencies of the project team members? Frequent changes in the project team?	Contracting authority, project manager	
4.	For which risks were elimination measures taken? Specify the measures. Were elimination measures effective? Were there any risks which were not identified? Why were they not identified?	Project manager	
5.	With which stakeholders did you work most? Which stakeholders did you forget about and would it have been desirable to work with them on this project?	Project manager	
6.	Were there any changes you had to deal with during project implementation that were due to an inappropriate breakdown of the project into products and working packages? Did any of the products have to be additionally implemented? Or on the contrary were any of the products not created at all? Did it have an impact on achieving the project objectives?	Project manager	
7.	Did activities change during project implementation because of a non-realistic or unsuitably set up activity plan?	Project manager	

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Checklist item	Draft question	Questioned party	Question answered: YES x NO If YES: Brief records of the answers
8.	Did the time schedule change during project implementation because of a non-realistic or unsuitably set up schedule?	Project manager	
9.	Were there any problems caused by an unsuitably composed team (insufficient competencies, specialisation, knowledge, lack of time, etc.)?	Project manager	
10.	Did new items appear in the budget which were not planned but they could have been predicted? Has the reserve been used? Did the reserve manage to cover unpredictable changes? Did the budget estimate correspond with the actual situation? Was it possible to manage the project using the selected budget or did a new budget have to be created?	Project manager	
11.	Was it necessary to change the method of procedure management during implementation? If yes, please state the reason. Was it possible to envisage the need for a different management system? Were there any changes made addressing the problematic issue of procedure management?	Project manager	
13.	Were there any situations in the project which were not addressed in the analysis and risk register, which caused major damage?	Project manager	
16.	Who regards the project to be a success? Who regards the project to be a failure? What was the criterion for project success?	Project manager, contracting authority	
19	Why were changes made?	Project manager	

List of possible audit documentation

Audited project phases: Overall evaluation
- Meeting minutes (project team, steering committee, individual teams)
- 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
- Regular 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, etc.?
- 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)
- Deed of foundation of the project
- Stakeholders´ analysis
- Logical framework
- WBS
- Economic evaluation study

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

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