



INVESTICE DO ROZVOJE VZDĚLÁVÁNÍ

Sample audit report



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VZDĚLÁVÁNÍ

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Substantive project audit report

entitled

(PROJECT NAME)

managed for

(NAME OF THE PROJECT HOLDER)

The audit has been implemented within the following extent:

<input type="checkbox"/>	Project initiation phase
<input type="checkbox"/>	Project design phase
<input type="checkbox"/>	Project planning phase
<input type="checkbox"/>	Project implementation phase
<input type="checkbox"/>	Project completion phase
<input type="checkbox"/>	Overall evaluation
<input type="checkbox"/>	Behavioural competence used during project management

Execution date: DD/MM/YYYY – DD/MM/YYYY



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Disclaimer and notes

- 1. The contents of this report shall be kept confidential by the subject stated above, the auditor and the project manager of the audited project, and it should not be distributed to third parties without the expressed written approval of all the parties above.*
- 2. The findings and commentaries included in this report were made by a competent senior auditor, or a team of auditors, on the basis of reviewing a sample of records of the audited project and on the basis of interviews conducted with the stakeholders.*
- 3. The subject matter of the audit is not to evaluate compliance with legal regulations, including regulations of grant authorities during project implementation.*
- 4. The subject matter of the audit is not the financial audit of the project.*
- 5. The audit was carried out on the basis of the Methodology for Substantive Project Audit prepared by the company Centrum evropského projektování, a.s.*
- 6. The audit methodology was created as part of the "Project Manager 250+" project implemented by the National Institute for Further Education.*



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1. Audit identification

Identification of the audited project	Project name or name of its phase/section	
Subject matter of the audit	The subject matter of this substantial audit is the project that is/was implemented by (name of organisation). At the time of audit the project is in the phase / has been completed. The following phases have been audited, and also the overall project implementation and applied behaviour skills were assessed.	
Basic project information	Please state basic information on the project – objective, outputs, budget, implementation date, basic description of the project progress, for whom the project is implemented.	
Audited project parts		
	Project initiation phase	<input type="checkbox"/>
	Project design phase	<input type="checkbox"/>
	Project planning phase	<input type="checkbox"/>
	Project implementation phase	<input type="checkbox"/>
	Project completion phase	<input type="checkbox"/>
	Overall evaluation	<input type="checkbox"/>
	Behavioural competence used during project management	<input type="checkbox"/>

2. Auditors identification

Auditor	First name, surname, dispatching organisation, contact telephone, e-mail
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3. Audit objectives

The main objective of the audit is to review and evaluate the actual status of project implementation, to establish the level of compliance with the criteria determined for project success and to identify opportunities to improve implementation and project management.

Partial audit objectives:

- To evaluate the quality of the project management process
- To evaluate compliance of the project outputs achieved with the planned outputs and the factual project purpose
- To review the efficiency and quality of project documentation
- To evaluate the efficiency of the applied project management tools

The objective of this audit methodology is not:

- To evaluate compliance with legal regulations including regulations of grant authorities
- Financial project audit (correctness, economy and efficiency of the expended resources)
- To compare the quality of individual project management processes audited using the same methodology

4. Representatives of the audited project

Project manager	First name, surname, dispatching organisation, contact telephone, e-mail
Project team member	First name, surname, dispatching organisation, contact telephone, e-mail
Project team member	First name, surname, dispatching organisation, contact telephone, e-mail
Contracting authority / Project sponsor	First name, surname, dispatching organisation, contact telephone, e-mail
Member of the Steering Committee	First name, surname, dispatching organisation, contact telephone, e-mail
Member of the Steering Committee	First name, surname, dispatching organisation, contact telephone, e-mail



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5. List of checked documentation

Please state an overview of the documentation and resources used for the audit. As a template, use the "List of possible audit documentation" for individual audited phases.

6. Applied methods

<input type="checkbox"/>	Analysis of audit documentation
<input type="checkbox"/>	Checklist – checking implemented tasks, documents created using checklists (control sheets, questionnaires)
<input type="checkbox"/>	Interview – checklist additional questions
<input type="checkbox"/>	Self-assessment questionnaire



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7. Audit process overview

The author of this document will briefly describe the course of the audit – collation of data, self-assessment, any potential obstacles (inaccessible documentation or key persons) and also the consequences of these obstacles that can limit the reliability of audit conclusions. For further description see Audit Methodology, Chapter 8.

Preparatory phase

When, on the basis on which documents and project information was the audit initiated, why and how was the audit extent determined, and which other persons cooperated?

Implementation phase

When, what were the interim findings, if and how was additional information gathered, any possible obstacles or missing information for audit purposes?

Evaluation/analytical phase

When was the data acquired in the previous phase analysed? Was it necessary to additionally acquire any missing data?

Final phase

When did the phase take place? Description of final work of the auditor and the process of accepting audit results, findings and proposals for corrective measures.

8. Audit findings

Conclusion concerning audit objectives:

Audit objectives were met in accordance with the selected extent and audit plan.

Audit objectives were not met due to the following reasons:

State the reasons for not meeting the audit plan and audit objectives. If the objective is met, delete this text.

9. Audit areas that have not been covered

Please state the areas that have not been covered by the audit although, according to the subject matter of the audit, they should have been covered, and state the reason why not all of the areas were covered.



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10. Audit conclusions, proposal of measures

In this phase it is essential to transfer the conclusions from individual project checklists. In particular, the conclusions concerning issues marked as "Essential" and the conclusions concerning issues that have had a significant impact on the project.

Audit conclusions are of utmost importance. Do not transcribe all identified findings from checklists and other documents into the "Brief summary of audit conclusions" column, but summarise the findings and state the most important ones.

When transferring data from checklists, use the "Checklist Issues" column and discuss the conclusions of the stated issues in the respective row. "PM tools" contains the "all" option – it is at the auditor's discretion to decide if the potential problems arose because of shortcomings in project management tools or if it was more possible to resolve the situation using more suitable project management tools.

In the last column "Proposal of Measures", only state the proposed measures for improving project management in the organisation, if identified (again use the conclusions stated in individual check lists).

For the proposal of measures we recommend to state the person responsible for corrective action and the deadline (if possible to determine).

Delete rows that are not filled in. If needed, add additional rows.

DELETE THIS TEXT AFTER COMPLETING THE AUDIT REPORT.

Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
	Project origin		
1, 2, 3, 4, 5, 6, 7, 10	Decision to call for solutions	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)
9	Appointment of the project team		
8 + all	Project management tools		



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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
11	Keeping project documentation		
	Other?		
Project design			
1, 2, 3, 4, 5, 6, 7, 8, 9, 12	Determine substantive project borders	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)
13, 14, 15	Determination of organisational project borders		
10, 11	Determination of indicators for meeting objectives		
16, 17	Determination of decision making competency		



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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
18 + all	Project management tools		
19	Keeping project documentation		
	Other?		
Project planning			
1, 2, 3, 4	"WHAT" plan	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)
5, 6, 7, 8, 9, 10, 11, 17, 18, 19	"HOW", "WHEN", "WHO WITH" plans		
12, 13	"HOW MUCH" plan		

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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
14, 15, 16, 17, 18, 20, 21, 22, 23, 24	Project management tools		
25 + all	Keeping project documentation		
	Other?		
Project implementation			
1, 2, 3, 4, 5	Project team	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)
6, 7, 9, 10, 11, 12, 13, 14, 20,	Progress management		
8, 21, 22, 23,	Results and outputs management		



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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
17, 18, 19	Risk management		
15, 16,	Change processes		
26 + all	PM tools		
24, 25	Keeping project documentation		
	Other?		
Project completion			
1, 2, 3, 4, 5, 6,	Handover of products and acceptance	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)



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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
9, 10, 15,	Project evaluation		
7, 8, 11, 12, 13, 14	Project completion		
all	Keeping project documentation		
	Other?		
Summary evaluation			
1, 2, 3, 4, 5	Consistent project management	Describe the most important aspects, findings, shortcomings	Describe the proposed measures to remove shortcomings, including the persons responsible and deadlines (if possible to determine)
6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 18, 19	Technical competencies of managers		

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Check list questions	Commented topics	Brief summary of audit conclusions	Proposed measures
Self-assessment questionnaire	Behavioural competencies of managers		
	Other?		



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11. Distribution list for the audit report

The audit report will be distributed to the following persons and parties:

Name of organisation	First name, surname, position

12. Annexes to the audit report

E.g. documentation used