Project Management Processes and Quality Checklist

Intended use of this checklist	The purpose of this audit is to determine the applicability of International Standards for 'Guidelines Quality in Project Management'. The questionnaire refers to project management processes to enable a framework to discuss their application. The questionnaire pertains to projects of varying complexity, small or large, of short or long duration, in different environments and irrespective of the kind of project product. The content of the questionnaire has been derived form the International ISO 10006 Methodologies.

Definition of Categories	C = Compliant, N = Non-compliant
	P = Present, A = Absent, X = Not applicable

Auditor(s)		Proposal Number	
Client		Date	
Auditee(s):			
Name & Surname		Function	
Name & Surname		Function	

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Clause 4:Project Characteristics ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Do Project Management Processes exist for planning, organizing, monitoring and controlling all aspects of the project?					
2. Is there an organisation that decides to register/ undertake projects and then assign the project to a project organisation?					
3. Are projects divided into sub-processes/ phases?					
4. Is there an organisation responsible for monitoring the realization of the sub-process/ phase objectives and related risks?					

Clause 5: Quality in Project Management Processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Which project management processes exist **(documented or not)** within the organisation e.g. cost, resource & time related processes					
2. Do Project Management guidelines and processes exist with the organisation/ project organisation to ensure quality?					

Clause 5.2: Strategic processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Have customer and stakeholders needs been clearly understood to ensure that all project-related processes focus meeting their needs?					
2. Has/ is the project carried out as a set of planned and Interdependent processes?					
3. Is the clear division of responsibility versus authority between the originating organisation, project organisation, customers and stakeholders?					
4. Do project progress evaluations exist? If so what do they evaluate?					
5. Do quality attributes exist within the Project Management Process? E.g. approvals, documentation, preventative & corrective action, reviews, traceability, training, verification, etc					
6. Have management provided and organisational structure that is a conducive means to support the project objectives?					
7. Does management makes project decisions based on data and factual information?					

8.	Has the project organisation established beneficial relationships with subcontractors and other organisations?					
9.	Has a project manager been appointed and defined with accountability, authority and responsibility for managing the project?					
10.	Has a system been put in place to collect and analyse the information gained during/ after a project for use in a continual improvement process?					
11.	Have provisions been made for self-assessments or internal audits?					

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Clause 5.3 Interdependency Management Processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Who is responsible for managing all of the interdependencies amongst the project processes?					

Clause 5.3.1 Project Initiation and project plan development ISO 10006:1997(E

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does an approved project and quality plan exist? If so is it kept up to date and by whom?					
2. Has the project plan been prepared to allow for traceability (measuring and assessing objectives/ deliverables? If not, is there an alternative means of traceability?					
3. Is the objective of the project to fulfil the requirements of a contract? If so are contract reviews performed?					
4. Are project organisations determined\ assigned projects based on similar projects that have been previously undertaken?					
5. Does the Project Plan consist of a Quality Plan/ Quality approach?					
6. Is the retention of project related records managed?					
7. Are reviews and progress evaluations included in the Project Plan? If so do these reviews include preventative/ corrective action measures?					

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8.	What project interfaces exist? Are the identified in the Project Plan and how are they managed? E.g. liaison with customer/ stakeholders – reporting lines – functions within the project organisation.					

Clause 5.3.2 Interaction Management ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Over and above the project organisation, does the project consist of project interaction teams? E.g. risk management teams, measuring project performance, project communication.					

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Clause 5.3.3 Change Management ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does the project consist of a Change Management approach/ process?					
2. Does the Change Management Process include a control mechanism for documentation?					

		Version Number:	**12**

Clause 5.3.4 Project Closure ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. At project closure, are all the project records retained for a specified time?					
2. At project closure, is a complete project review conducted? – Irrespective of the reason for project closure.					

	Version Number:	**13**

Clause 5.4 Scope related process ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How are the customer requirements translated into activities to ensure project objectives are achieved?					

		Version Number:	**14**

Clause 5.4.1 Concept Development ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Have the customer's requirements for both product and processes (expressed and implied) been translated into documented requirements?					
2. Do these documented requirements include stakeholder requirements, by which the customer has agreed upon?					

	Version Number:	**15**

Clause 5.4.2 Scope Development and Control ISO 10006:1997(E)

Checklist Questionnaire		Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1.	Has a project scope been developed?					
2.	Is there supporting evidence of alternative approaches and solutions?					

	Version Number:	**16**

Clause 5.4.3 Activity Definition (tasks, work packages, work breakdown structure) ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. In the definition of activities, has the project manager/ project leader involved the personnel who are responsible for carrying out the activities?					
2. Have the activities been defined in such a way that its outputs are measurable?					

	Version Number:	**17**

Clause 5.4.4 Activity Control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Are the activities defined, carried out in accordance to the project plan?					
2. Have reviews been planned on the activities?					
3. Are variations from the defined activities being updated on the Project Plan?					

	Version Number:	**18**

Clause 5.5 Time-related processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does a time-related process exist to determine the dependencies and duration of activities to ensure timely completion of the project?					

	Version Number:	**19**

Clause 5.5.1 Activity dependency planning ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Has the project defined and documented inter-relationships, logical interactions and interdependencies? E.g. project network diagrams					

		Version Number:	**20**

Clause 5.5.2 Estimation of duration ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Who is the project responsible for establishing the duration of the activities?					
2. Has the 'estimation of duration' been linked to project resource planning?					
3. Has time allocation been planned for quality practices within the project?					
4. Has the customer and stakeholder been involved?					

Clause 5.5.3 Schedule development ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. What is the format of the project schedule?					
2. Have key events, milestones, progress evaluations, critical and near-critical activities been identified in the schedule?					
3. Prior to finalizing the schedule, was the customer/ stakeholder involved in a review for approval?					

	Version Number:	**22**

Clause 5.5.4 Schedule control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Changes that affect the project objectives - does the customer/ stakeholder agree to these before implementation?					
2. How often is the schedule revised?					

	Version Number:	**23**

Clause 5.6 Cost-related processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How are the project costs managed to ensure that the project is completed within the original budget constraints?					

		Version Number:	**24**

Clause 5.6.1 Cost estimation ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Have project costs been clearly identified and documented? If so, by whom?					
2. Have the project costs been linked to the activity definition process?					
3. Has the project cost estimation involved significant cost related risk? If so how are these managed?					
4. Has the project budget been established based on the project cost estimation process and is it accordance with the approved accounting procedures within the organisation?					

	Version Number:	**25**

Clause 5.6.2 Budgeting ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Is the project budget consistent with the project requirements, assumptions, risks and contingencies? Is this documented?					

	Version Number:	**26**

Clause 5.6.3 Cost Control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. What is the process for project purchasing/ expenditure requirements?					
2. Has this process been documented and communicated to those responsible for authorizing expenditure or authorizing work that may have cost implications?					
3. Are project expenditure records reviewed, managed and maintained?					
4. Are the root causes for budget variances, both favourable and unfavourable identified? If so, is this part of a project budget review?					

	Version Number:	**27**

Clause 5.7 Resource-related processes ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Has resource planning and control been applied on the project?					

		Version Number:	**28**	

Clause 5.7.1 Resource planning ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does a resource plan exist for the project?					

	Version Number:	**29**

Clause 5.7.2 Resource control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How does the project ensure that the remaining resources are sufficient to meet the project objectives?					

		Version Number:	**30**

Clause 5.8 Personnel-related processes ISO 10006:1997(E)

Clause 5.8.1 Definition of project organisational structure ISO 10006:1997(E)

	Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1.	Has a project organisational structure been established?					
2.	Is the project organisational structure encouraging for communication and co-operation between the project participants?					
3.	Is the project organisational structure appropriate for project scope, size and local conditions?					
4.	Does the project organisational structure identify customer/ stakeholders?					
5.	Are accountability, authority, responsibility and job descriptions defined and documented?					
6.	How often is the project organisational structure reviewed for validity and adequacy?					

		Version Number:	**31**

Clause 5.8.2 Staff allocation ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Was selection criteria prepared for staff allocation?					
2. Has education, knowledge and experience been accounted for allocation of project staff?					
3. Has the project manager been involved in the appointment of key team members?					
4. Is project staff efficiency and effectiveness being monitored (subcontractor's or not)?					

		Version Number:	**32**

Clause 5.8.3 Team Development ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Is the project team being recognized and rewarded?					
2. Does the project environment encourage excellence, good working relationships, trust, respect and open communication?					

Clause 5.9 Communication-related processes ISO 10006:1997(E)

Clause 5.9.1 Communication Planning ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does the project plan consist of a communication plan?					
2. What media is being used to transmit project communiqués?					
3. How often are project communiqués transmitted?					
4. Does 'Project Progress Reports' form part of the project communiqués?					

Clause 5.9.2 Information Management ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How does the project manage the following: • Preparing • Collecting • Classifying • Distributing • Filing • Updating and • Retrieving information					
2. Do project meetings consist of meeting agendas?					

		Version Number:	**35**

Clause 5.9.3 Communication Control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Is the project communication plan monitored and reviewed to ensure it continues to meet the needs of the project?					

		Version Number:	**36**

Clause 5.10 Risk-related processes ISO 10006:1997(E)

Clause 5.10.1 Risk identification ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How often are risks identified through the project life cycle?					
2. How are these risks managed?					

Clause 5.10.2 Risk Assessment ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Is probability of the occurrence and impact of the identified risk assessed?					
2. What techniques are being used in the project to prioritise, manage and record the identified risks and their resolutions?					
3. Are risks that may impact time schedules or project budget, identified and maintained separately?					

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Clause 5.10.3 Risk Control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does the project plan consist of a contingency plan?					
2. Do project risks form part of project progress reports?					

		Version Number:	**39**

Clause 5.11 Purchasing-related processes ISO 10006:1997(E)

Clause 5.11.1 Purchasing Planning and Control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does the project plan consist of a procurement / purchasing process?					
2. Does the process cover internal and external acquisitions?					
3. Does the project organisational structure identify the interfaces with sub-contractors?					
4. Has project purchasing/ procurement been reviewed?					

	Version Number:	**40**

Clause 5.11.2 Documentation of requirements ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does purchasing documentation exist for the project?					
2. Have the customer requirements been included into the purchasing/ procurement documents?					
3. Do the purchasing documents go through a review process to ensure that all requirements are completely specified?					

	Version Number:	**41**

Clause 5.11.3 Evaluation of sub-contractors ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Have project related sub-contractors been evaluated that may impact on the project? . E.g. technical experience, delivery times, quality system and financial stability.					

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Clause 5.11.4 Sub-contracting ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. How does the project manage project-relevant information being supplied to subcontractors?					
2. How are subcontractor tenders evaluated?					

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Clause 5.11.5 Contract control ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. Does the project consist of a process to ensure that all contract requirements, due dates and records are met?					
2. How often are the contracts verified to ensure the performance of each subcontractor meets the contract requirements?					
3. Are all contracts, prior to project closure, verified and updated?					

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Clause 6 Learning from the Project ISO 10006:1997(E)

Checklist Questionnaire	Document Identification	Document Result [C/N/P/A/X]	Implementation/ Observation/ Comments	Document Result [C/N/P/A/X]	Findings Report Reference
1. At project closure, does the originating organisation collate, store, update and retrieve information from the project?					
2. At project closure, are reviews performed of project performance, highlighting experience from the project and is the customer involved?					

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