MNLARS Project Audit Checklist
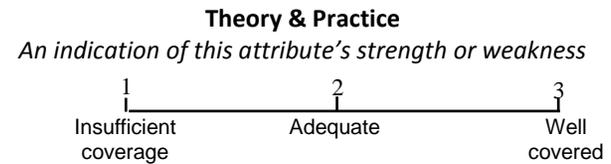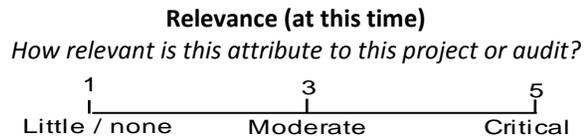
The following provides a detailed checklist to assist the audit team in reviewing the health of a project.

Relevance (at this time)
How relevant is this attribute to this project or audit?

1	3	5
Little / none	Moderate	Critical

Theory & Practice
An indication of this attribute's strength or weakness

1	2	3
Insufficient coverage	Adequate	Well covered

Project Management Audit Checklist as of March 2014

#	Attribute	Relevance	Score
1.0 Pre-Project			
1.1	*General*		
1.1.1	Has process improvement efforts been completed before requirements efforts begin?	5	
1.1.2	Has a capability assessment been conducted?	4	
1.1.3	Has an organization readiness assessment been conducted?	5	
1.2	*Business Case*		
1.2.1	Is there an approved case?	5	
1.2.2	Does the Business Case include how the project aligns with the organization's strategic goals & objectives?	5	

#	Attribute	Relevance	Score
1.2.3	Have the reasons why the changes to the organizational systems and capabilities are required?	5	
1.2.4	Has the business need been clearly defined?	5	
1.3	*Project Registration*		
1.3.1	Is the project registered with MN.IT?	3	
2.0 Project Initiation			
2.1	*Project Charter*		
2.1.1	Does the project have a formal Project Charter?	5	
2.1.2	Are the key elements of a Project Charter present? a. Alignment to strategic goals & objectives? b. Project Definition & Scope? c. Project Objectives? d. Cost / Benefit Analysis? e. Staffing Requirements? f. Timeline and milestones? g. Control systems h. Risk Analysis? i. Critical Success Criteria (if we meet these, we've met our goals? j. Project manager and project sponsor are named to the project.	5	
2.1.3	Does the project have a Statement of Work?	5	

#	Attribute	Relevance	Score
2.2	*Project Approach*		
2.2.1	Have project management standards and procedures been identified / established and documented?	5	
2.2.2	Has the project approach and development strategy of the project been defined, documented and accepted by the appropriate stakeholders?	5	
3.0 Project Governance			
3.1	*Project Governance*		
3.1.1	Does a documented project organizational policy & plan (i.e. governance model) exist?	5	
3.1.2	Are governance roles and responsibilities documented?	5	
3.1.3	Is there a Steering Committee in place?	5	
3.1.4	Is the Steering Committee active in project oversight?	5	
3.1.5	Has a sponsor been identified?	5	
3.1.6	Is the Project Sponsor clearly communicating the Business Case or rationale for why this project is needed?	5	

#	Attribute	Relevance	Score
3.2	***Project Leadership***		
3.2.1	Is a PMO (Project Management Office) in place and provide oversight to the project?	4	
3.2.2	Has the project manager been identified?	5	
3.2.3	Is the assigned project manager a PMP (Certified project manager) and experienced?	5	
3.2.4	Are project team roles and responsibilities identified and documented?	5	
4.0 Project Planning (General)			
4.1	Have the key elements of a coherent project management strategy been established? a) Project tracking plan & methodology b) Project status reporting structure & process c) Change Management plan & tracking d) Issues Management process & tracking plan e) Risk Management Plan f) Software Quality Assurance g) Software Configuration Management	5	
4.2	Are there procedures in place to effectively manage interdependencies with other projects, systems, Vendors and the State work effort?	4	
4.3	Does all project documentation reside in a common repository for easy access?	4	

#	Attribute	Relevance	Score
4.4	Do all stakeholders know how to access this repository and where to find the project documentation?	4	
4.5	Has project success criteria been defined?	5	
4.6	Have all necessary approvals been obtained?	3	
4.7	Are the project plans updated on a frequent basis?	5	
5.0 Scope Management			
5.1	*Scope Management Plan*		
5.1.1	Is there a scope management plan that includes how project scope will be defined, developed, monitored, validated and controlled?	3	
5.1.2	Has the scope management document been updated and distributed to help prevent scope creep?	3	
5.1.3	Is there a requirements change management processes in place?	5	
5.1.4	Has a structured approach been used to break work effort into manageable components (WBS)?	5	
5.1.5	Have the key functions and capabilities been defined and assigned to each release or iteration?	5	

#	Attribute	Relevance	Score
5.1.6	Has the project scope been baselined?	5	
5.2	**Scope Management**		
5.2.1	Is current scope of the project substantially different than that originally defined?	5	
5.2.2	Are changes in scope (deliverable commitments) agreed to by all affected groups & individuals?	5	
6.0 Schedule Management			
6.1	**Schedule Management Plan**		
6.1.1	Is there a Schedule Management Plan that establishes the criteria and activities for developing, monitoring and controlling the project schedule?	5	
6.1.2	Were project team members involved in the development of activity & task decomposition?	4	
6.1.3	Was the scope definition used in task sequencing?	3	
6.1.4	Are individual tasks of reasonable time effort (8–40 hours)?	4	
6.1.5	Are tasks tracked by hours?	4	

#	Attribute	Relevance	Score
6.1.6	Are milestone deliverables effectively tracked and compared to project plan?	5	
6.1.7	Does the detailed project plan identify individual responsibilities for the next 4–6 weeks?	4	
6.1.8	Have activity relationships and interdependencies within tasks been adequately identified?	4	
6.1.9	Have external dependencies been captured in the schedule?	4	
6.1.10	Are target dates established for each milestone deliverable?	5	
6.1.11	Are corrective actions taken when actual results are substantially different from detailed project plan (variances)?	5	
6.1.12	Are corrective actions and variances reported?	5	
6.1.13	Are changes in deliverable commitments agreed to by all affected groups & individuals?	5	
6.1.14	Is the structure for tracking the project schedule well defined and assigned to a specific individual?	5	
6.1.15	Are measurements and feedback mechanisms incorporated in tracking work effort & refining work estimating techniques?	4	

#	Attribute	Relevance	Score
6.1.16	Is there a formal process for updating the project baseline?	5	
6.1.17	Does the schedule include project management time and change request analysis time?	5	
6.1.18	Are non-critical path items updated and agreed upon with the MNLARS teams?	5	
6.1.19	Are staff skills known and available for each task?	5	
6.1.20	Has the schedule been baselined?	5	
6.1.21	Was the project schedule reviewed by all stakeholders and formally accepted?	5	
6.2	**Schedule (Time) Management**		
6.2.1	Is the schedule updated on a periodic basis?	5	
6.2.2	Is the project schedule available for all project team members to review?	4	
6.2.3	Have the procedures for identifying variances from estimates & adjusting the detailed work program been followed?	4	
6.2.4	Is project work proceeding in accordance with the original project schedule?	5	

#	Attribute	Relevance	Score
6.2.5	Have all project delays been adequately accounted for, communicated to all stakeholders and adjustments made in overall project schedule?	5	
6.2.6	Is there general agreement & acceptance of the current status and progress of the project?	5	
6.2.7	Is PERT / Critical Path or equivalent methodology being used? Can you see the critical path on the plan? Is the Critical Path frequently monitored?	4	
6.2.8	Are the Gantt Chart and/or Network Diagram updated periodically and used to assess the overall project timetable?	3	
6.2.9	Is an industry recognized mechanized support tool(s) being used for project scheduling & tracking?	4	
6.2.10	Is it possible to track all classes of project work (e.g. scheduled, un-scheduled, defect repair, etc.)? Can you compare work done to the baseline?	5	
6.2.11	Are schedule deliverables actually delivered?	5	

#	Attribute	Relevance	Score
6.3	**Estimating**		
6.3.1	Are multiple estimation methods being employed?	4	
6.3.2	Are updated project time & resource estimates reasonable based on the current project stage?	5	
6.3.3	Are actuals compared against estimates to analyze and correct variances?	5	
6.3.4	Are software metrics formally captured, analyzed and used as a basis for other project estimates?	5	
6.3.5	Was your agency's estimating methodology being used and followed?	3	
6.3.6	Do the estimating techniques include any of the following features: a. Ranged estimates? b. Sensitivity analysis? c. Risk rating? d. Quality Assurance overheads? e. Contingency?	4	
6.3.7	Are project team members involved in detailed estimating and scheduling?	5	
6.3.8	Were project team members involved in detailed estimating and scheduling?	5	

#	Attribute	Relevance	Score
6.3.9	Were stakeholders aware and supportive of the principles and practices of modern software estimation?	3	
6.3.10	Are the schedule estimates reasonable given the project?	5	
6.3.11	Are estimating assumptions and constraints captured?	4	
7.0 Budget (Cost) Management			
7.1	*Budget (Cost) Management Plan*		
7.1.1	Are funding resource estimates sufficiently detailed and documented for use in planning and tracking the project?	5	
7.1.2	Has the budget been baselined?	5	
7.1.3	Were the budget estimates reasonable?	5	
7.2	*Cost (Budget) Management*		
7.2.1	Is the organization structure for both tracking & controlling the budget well defined and assigned to a specific individual?	5	
7.2.2	Have the procedures for identifying budget variances been followed?	5	
7.2.3	Are Vendor invoices audited for accuracy before payment?	5	

#	Attribute	Relevance	Score
7.2.4	Are the payment terms being followed?	5	
8.0 Communication Management			
8.1	*Communication Management Plan*		
8.1.1	Has a project Communications Plan been developed?	5	
8.1.2	Have adequate procedures been put in place for project communication and status reporting across project boundaries (i.e. interdependent software development among interfacing systems)?	5	
8.2	*Communication Management*		
8.2.1	Is the communication plan being followed?	5	
8.2.2	Are project contact logs kept up to date?	4	
8.2.3	Are assumptions being identified, recorded, analyzed, qualified and closed?	3	
8.2.4	Are change requests logged and managed?	5	
8.2.5	Are decisions captured in a decisions log?	4	
8.2.6	Are action items captured and managed?	4	

#	Attribute	Relevance	Score
8.2.7	Have the scope, objectives, costs, benefits and impacts been communicated to all involved and/or impacted stakeholders and work groups?	5	
8.3	**Project Status Reporting**		
8.3.1	Status reports are created and include: a. Overall status b. Project performance (achievements & milestones) c. Open issues d. Risks e. Action items f. Cost & time performance against plan g. Quality metrics h. Client involvement	5	
8.3.2	Are written status reports provided on a designated frequent basis?	5	
8.3.3	Is project status reviewed with the steering and executive teams at appropriate intervals?	5	
8.3.4	Are internal project status meetings held at reasonable intervals?	5	
8.3.5	Do project teams & team members report on status / activities / progress?	5	

#	Attribute	Relevance	Score
8.3.6	Are the following status reports received per the Project Plan? • Weekly Status Reports • Change Request List • Monthly Status Report to Steering Committee • Quarterly Status Report to Steering Committee • Project Schedule Monthly	5	
8.4	***Issues Management***		
8.4.1	Is there an issues management plan in place?	5	
8.4.2	Is there a formal set of procedures supporting Issues Management?	5	
8.4.3	Is there any form of automated support for Issues Management?	2	
8.4.4	Are issues raised, assessed, actioned, and resolved in a timely and efficient manner?	5	
8.5	***Meeting Management***		
8.5.1	Are agendas created for each meeting with meeting objectives, meeting topics, invitee list, and action items from past meetings?	5	
8.5.2	Are meeting objectives identified for each meeting?	5	
8.5.3	Are meeting minutes captured and sent out after the meeting?	5	

#	Attribute	Relevance	Score
8.5.4	Are parking lot items captured?	5	
8.5.5	Are meetings held per the project plan: • Client touch point meetings. • Project team working meetings. • Change Control Board (CCB) Meetings. • Steering Committee meetings. • Quarterly status meetings. • Quarterly management meetings. • Work stream meetings.	5	
9.0 Risk Management Plan			
9.1	*Risk Management Plan*		
9.1.1	Was an original risk assessment/risk management plan completed?	5	
9.1.2	Are risk oriented checklists used during risk identification?	2	
9.1.3	Have all team members been part of identifying risks?	4	
9.1.4	Are risk triggers captured?	3	
9.1.5	Have reserves been created to address risks?	5	
9.2	*Risk Management*		
9.2.1	Is there an on-going process in place to monitor project risks?	5	

#	Attribute	Relevance	Score
9.2.2	Has a provision been made to reassess project risks at various project stages?	5	
9.2.3	Have all unresolved risks been documented?	5	
9.2.4	Are mitigation strategies identified?	5	
9.2.5	Are cause and effect determined for risks when they occur?	5	
9.2.6	Are trade-offs between accepting the risk and mitigating the risk identified?	5	
9.2.7	Are key risk mitigation strategies added to the project schedule?	5	
10.0 Human Resource Management			
10.1	*Human Resource Management Plan*		
10.1.1	Has a Resource Management Plan been created?	5	
10.1.2	Does the Resource Management Plan include a personnel development plan?	3	
10.1.3	Are staffing resource estimates sufficiently detailed and documented for use in planning and tracking the project?	4	

#	Attribute	Relevance	Score
10.1.4	Have adequate resources been provided by management to ensure project success?	5	
10.1.5	Have project team accountabilities & responsibilities been clearly defined?	5	
10.1.6	Have all involved project stakeholders and work groups committed to the project?	5	
10.1.7	Are all resource assumptions documented?	3	
10.1.8	Does the project team have the skills necessary to successfully complete current project(s) and support the application?	5	
10.1.9	Have arrangements been made to obtain special expertise or competence by consulting or referencing: a. Similar projects? b. Published materials? c. Personnel with expertise? d. Outside experts?	5	
10.1.10	Have the personnel with the necessary skills and competence been identified and has agreement for their participation in the project been reached with the appropriate management?	3	
10.1.11	Is there an onboarding process in place?	5	
10.1.12	Is there a project organization chart showing the reporting relationships and responsibilities for each position?	4	

#	Attribute	Relevance	Score
10.1.13	Has a proper project work location been established that will allow the team to work together with user personnel?	5	
10.1.14	Does the detailed work plan match the complexity of tasks with the capabilities of personnel?	5	
10.1.15	Has allowance been made for vacations, holidays, training (learning time for each team member), staff promotions & staff turnovers?	3	
10.1.16	Has adequate time for orientation & training of project staff been provided for in relation to technical nature of the application and the experience levels of project personnel?	4	
10.1.17	Has appropriate allowance been made for the effect of the learning curve on all personnel joining the project who do not have the required prior industry, functional & technical expertise?	5	
10.1.18	Are the appropriate IT resources adequate to meet planned commitments?	5	
10.1.19	Are enough systems & user personnel assigned to the project?	5	
10.1.20	Do project managers participating in the project know the project's true status first hand?	5	

#	Attribute	Relevance	Score
10.1.21	Are project leaders committed to this project full time?	5	
10.1.22	Are project team members committed full-time?	5	

11.0 Quality Management				Notes
11.1	**Quality Management Planning**			
11.1.1	Does the project have a 'Quality Culture'? *According to PMI, quality management seeks minimize variation and deliver results that meet requirements. To do that customer satisfaction is key. Understanding, evaluating, defining and managing requirements are a must to ensure customer expectations are met, from both a conformance (does project produce what it was created to produce) and fitness for use (does the product satisfy the real needs) It also focuses on prevention over inspection, continuous improvement,*	5	4	3	
11.1.2	Is there a Quality Management Plan?	5	N/A	2	
11.1.3	Has a Quality Assurance Plan been developed for the project?	5	N/A	3	
11.1.4	Does the quality assurance process provide objective verification of adherence to applicable standards, procedures & requirements?	5	N/A	3	

11.1.5	Are all key components of a Quality Assurance Plan present?
	
	    a. SQA Plan
	    b. Software Configuration Management (SCM)
	    c. Software development standards & methods
	    d. Methodology
	    e. Testing Standards & Methodology
	    f. Data Architecture Standards
	    g. Data Naming Conventions
	    h. Technology Architecture
	    i. Software Metrics
		5	N/A	3	

11.1.6	Is the quality assurance team identified?	5	3	3	
11.1.7	Are adequate resources provided for the quality assurance function? Are quality assurance resources experienced?	4	3	4	
11.1.8	Are the quality tools and methods identified in the Quality Plan appropriate to the project? *E.g. Pareto diagrams, statistical sampling, flow charting or trend analysis used quality monitoring?*	4	N/A	2	
11.1.9	Is there a set of procedures defining the scope, procedures, and deliverables defining quality control? *According to the SOW: The purpose of quality control is to monitor specific project results to determine if they comply with relevant quality standards and identify ways to eliminate the causes of unsatisfactory results.*	5	N/A	4	

11.1.10	Are quality metrics defined? *Quality metrics describe how a project or product attributes and how the quality control process will measure it. A measurement is an actual value and defines the allowable variations to the metric. Quality metrics may include on-time performance, cost control, defect frequency, failure rate, availability, reliability, and test coverage.*	5	N/A	2	
11.1.11	Is there a set of procedures to capture, analyze and act on quality metrics?	5	N/A	3	
11.1.12	Are there checklists created to demine if all quality processes are followed?	4	N/A	2	
11.1.13	Are quality inspections and review activities listed in the project schedule(s)?	5	N/A	2	
11.2	**Quality Management**				
11.2.1	Is quality monitored from the perspective of the customer's needs and expectations?	5	2	2	
11.2.2	Do trained quality assurance auditors conduct the audits as defined in the Quality Management Plan and scheduled by the project manager?	4	N/A	3	

11.2.3	Are quality assurance audits conducted per the Quality Plan: • Plan project work (before execution) • Application development lifecycle (during project execution) • Release system (during project execution) • Execute project plan (during early State of execution and 3-6 months following) • Test application (during project execution) • Close down project (after project completion)	5	N/A	2	
11.2.4	Are the results of quality assurance reviews provided to affected groups & individuals? Are summary metrics shared with the MNLARS teams in a quarterly report?	5	N/A	2	
11.2.5	Are post milestone project reviews (PMPR) conducted with the State at least once a year?	5	N/A	N/A	
11.2.6	Are work product reviews performed (WPRs) to include: • High level requirements • Application software • Architecture plans • Project plan components • Technical design • Test plan/strategy • Use cases • Technical reviews	5	N/A	3	
11.2.7	Are any non-compliance issues that exist due to State practices communicated to the State?	5	3	3	

12.0 Procurement Management					
12.1	**Procurement Management Plan**				
12.1.1	Is there a procurement management plan in place?	5	5	N/A	
12.2	**Procurement Management**				
12.2.1	Are procurement deliverables arriving on time and to specification?	4	4	N/A	
12.2.2	Are Vendor contract reports, reviews and visits conducted periodically?	5	3	3	
12.2.3	Is a payment system in place with proper reviews and approvals?	5	5	3	
12.2.4	Is documentation created for communication with the suppliers and Vendors?	3	4	2	
12.2.5	Are metrics used to evaluate and manage Vendors?	5	2	N/A	
12.2.6	Are all payments made according to the contract(s)?	5	4	3	

13.0 Stakeholder Management					
13.1	**Stakeholder Management Plan**				
13.1.1	Is a Stakeholder Management plan in place that covers the following topics? • Engagement levels of key stakeholders • Scope and impact of change to stakeholders • Interrelationships between stakeholders • Communication requirements • Information to be distributed to stakeholders – language, format, content, level of detail • Reason for distribution and information that expected to impact to stakeholder engagement • Timeframe and frequency for the distribution of requirement information to the stakeholders • Method for updating and refining the stakeholder mgmt. plan as project progresses and develops.	5	5	N/A	
13.1.2	Have key stakeholders been identified?	5	5	N/A	
13.1.3	Have stakeholder accountabilities & responsibilities been clearly defined?	5	5	N/A	
13.1.4	Has stakeholder analysis been conducted, assessing their influence on the project and their authority levels?	5	5	N/A	

13.1.5	Is there a training program in place for stakeholders covering expectations, roles and responsibilities and any addition knowledge they need to be good stakeholders?	5	5	N/A	
13.1.6	Is there a formal set of procedures supporting Stakeholder Management?	5	3	N/A	
13.1.7	Is it standard practice to formally commit stakeholders to the project via agreements?	5	5	N/A	
13.2	**Stakeholder Management**				
13.2.1	Is stakeholder involvement adequate?	5	3	N/A	
13.2.2	Are the people assigned to the project sufficiently qualified?	5	5	N/A	
13.2.3	Are the project team members located locally to the users/stakeholders?	5	5	2	
14.0 Project Management Closeout					
14.1	Have all documents been archived in a project repository for each release?	5	N/A	N/A	
14.2	Are all Vendor contracts are closed out?	5	N/A	N/A	
14.3	Have lessons learned been conducted after each project release?	5	N/A	N/A	