1. INTRODUCTION

1.1. The PRINCE 2 method comprises eight **components**, eight main **processes** and four **techniques**. These are supported by 24 management and quality **products**.

1.2. The eight **components** are:

- Organisation
- Controls
- Management of risk
- Configuration management
- Planning
- Stages
- Quality in a Project environment
- Change control

1.3. The eight main **processes**, each made up of various sub-processes, are as follows:

- Starting up a Project
- Directing a Project
- Managing product delivery
- Closing a Project
- Initiating a Project
- Controlling a Stage
- Managing Stage boundaries
- Planning

1.4. The four **techniques** are as follows:

- Product-based planning
- Quality review techniques
- Change control approach
- Project filing techniques

1.5. The 24 management and quality **products** are as follows:

- Acceptance Criteria
- Checkpoint Report
- End Stage Report
- Highlight Report
- Lessons Learned Report
- Post Implementation Review
- Project Brief
- Project Issue
- Project Plan
- Quality Log
- Risk Log
- Work Package
- Business Case
- End Project Report
- Exception Report
- Issue Log
- Off-Specification
- Product Checklist
- Project Initiation Document
- Project Mandate
- Project Quality Plan
- Request For Change
- Stage Plan
- Work Package Authorisation

1.6. The processes, sub-processes, techniques and products have been rationalised under some of the main component headings, reorganised so as to broadly follow the Project from cradle to grave. This checklist is thus structured as a series of questions, each of which should trigger an interviewee to refer to relevant processes, techniques and products. Where they do not do so, appropriate follow up prompts are included.

2. PRINCE2

2.1. Do you use a formal method for Project management?

2.1.1. PRINCE 2 dates from 1996. Some Projects may pre-date the method and be managed using either the original version of PRINCE or some other formal or informal method.

2.2. How rigorously do you follow the method?

2.2.1. Most Projects are likely to have adopted the broad principles rather than the fine detail of their chosen method. This is often referred to as "pragmatic PRINCE".

3. CONTROLLED PROJECT START-UP

3.1. How did the Project first come about?

3.1.1. There should be some form of documented Project mandate to proceed to start-up. The mandate should cover such matters as background, scope, objectives and outline business case.

What was the original mandate for the Project?

3.1.2. The Project mandate should then be worked up into a Project brief, which serves as a source document for the Project initiation document (PID). The initiation Stage is then planned and the outline business case further developed.

Was there a Project brief prepared to feed into the PID?

How was the business case for the Project developed?

How was the business case updated as the Project progressed?

3.1.3. Finally, the Project Board should formally authorise the move to Project initiation.

How was the initiation Stage authorised?

3.2. What were the main things done to initiate the Project?

3.2.1. The Project plan should have been prepared - *see section 4 below*.

3.2.2. A system of Project controls (e.g. checkpoint, highlight and exception reports) should have been set up - *see section 6 below*.

3.2.3. The Project risk assessment and risk management plan - together referred to as the 'risk log' - should have been prepared - *see section 7 below*.

3.2.4. The Project quality plan - i.e. the structure and procedures used to manage quality - should have been prepared - *see section 8 below*.

3.2.5. A Project filing system should have been set up. This 'configuration management' should include records of systems and software *used* by the Project, as well as of paper and software products *produced* by the Project - *see section 9 below*.

3.2.6. The PID should have been assembled.

How was the PID put together?

3.2.7. Finally, the Project Board should have approved the PID and authorised the start of the Project proper.

How was authority given for the Project proper to proceed?

3.3. Ask to see:

- **any original Project mandate**
- **any original Project brief**
- **the business case for the Project**
- **the Project initiation document**

4. PROJECT PLANNING

4.1. What are the main components of the Project plan?

4.1.1. The Project should be divided into Stages. The overall Project plan should include some form of schematic or GANNT chart showing the various Stages, their dependencies and how they follow on from each other.

How did you go about defining and scheduling the Project's various Stages?

4.1.2. The Project plan may include a GANNT chart, showing a logical schedule of all activities, their dependencies, estimates of the days effort required and the resources allocated to complete them, but this level of detail is more likely to be found in a Stage plan.

4.1.3. The plan should set the overall tolerances (time and cost deviations from plan) allowed before formal exception reporting and intervention is needed.

What are the overall time and cost tolerances for the project?

4.1.4. The plan should include the Project financial budget

How did you go about planning and monitoring the Project budget?

4.1.5. Details of the Project's intended products, particularly the outputs from the Project but also perhaps the management and quality products. The expected details would be an overall product breakdown structure, overall product flow diagram, checklists of the products to be completed by each Stage and individual product descriptions for each product.

How did you go about planning the Project's various products?

4.2. How often is the Project plan (i.e. the schematic/GANNT chart, products and budget) updated?

4.2.1. Project plans are updated based on three documents: the Stage plan for the Stage that is ending, the next Stage plan and any exception plan triggered by an escalation of Project issues.

What triggers updates to the overall schematic or GANNT chart?

What triggers updates to the product planning?

What triggers updates to the Project budget?

4.3. Ask to see the latest or an example of:

- **the overall Project schematic or GANNT chart;**
- **Project budget monitoring;**
- **a Stage product checklist**
- **the Project product breakdown structure**
- **the Project product flow diagram**
- **a product description**

5. PROJECT ORGANISATION

5.1. How is the Project Board made up?

5.1.1. There should be a Project Executive, who may be called the Project Director, representing the interests of the business.

Who on the Project Board represents the interests of the business as the customer?

5.1.2. There should be a Senior User, ensuring the products meet User needs and are fit for purpose.

Who on the Project Board represents the interests of those who may take the product?

5.1.3. There should be one or more Senior Suppliers, who may be called Senior Technical(s), representing those who provide resources, products or services to the Project. Post procurement, there may be one Senior Supplier from the client and another from the contracted supplier.

Who on the Project Board represents the support services provided by the client?

Who on the Project Board represents the contracted supplier?

5.2. Who runs the Project on a day to day basis?

5.2.1. This should be the Project Manager, who may be either full-time or part-time, depending on the nature of the Project.

Do you have a full-time Project Manager?

5.3. How is the Project team resourced?

5.3.1. This should be through a mix of full-time and part-time resources drawn from the client, from other stakeholding bodies, from consultants and from the supplier.

What support do you have from other stakeholding bodies?

How do you use consultants?

How are working relationships organised between the Project and the supplier?

5.4. How are the Project's performance and products monitored?

5.4.1. Monitoring should be through Project assurance, carried out either by the members of the Project Board or, where delegated, through one or more Assurance Co-ordinators

What systems are there for independent Project assurance?

5.5. How is administrative support provided to the Project?

5.5.1. For larger Projects, this should be through a dedicated Project Support Office.

Does the Project have a Support Office?

5.6. What formal relationships exist between the Project and the Programme?

5.6.1. The Project Executive may sit on the Programme Management Board, either *ad persona* or as the Project's representative.

What formal links does the Project Executive/Director have with the Programme?

5.6.2. The Programme Manager may attend meetings of the Project Board either as a member or as an observer. The Programme Manager should also receive weekly milestone reports from the Project.

What formal links does the Programme Manager have with the Project?

What formal links does the Programme Manager have with the supplier?

5.6.3. Projects may have a Liaison Officer from the Programme.

What formal links does the Liaison Officer have with the Project?

What formal links does the Liaison Officer have with the supplier?

5.7. Ask to see:

- **an organisation chart for the Project;**
- **role descriptions for the Project Executive, Senior User, Senior Supplier and Project Manager.**

6. CONTROLLED PROJECT PROGRESS

6.1. How did you go about planning each of the Stages?

6.1.1. Each Stage plan should include a GANNT chart, showing a logical schedule of activities, their dependencies, estimates of the days effort required and the resources allocated to complete them.

How did you go about planning, scheduling and resourcing the various activities within each Stage?

6.1.2. Each Stage plan should set the tolerances (time and cost deviations from plan) permissible for that stage before formal exception reporting and intervention is needed.

How did you go about setting cost and time tolerances for each Stage?

6.2. How do you go about tasking individuals and teams?

6.2.1. The planned activities needed to produce the various products should be bundled into work packages, which are formally handed over to and accepted by those who will undertake the work.

Do you use work packages or an equivalent for tasking?

6.3. How is work in progress monitored from tasking through to delivery?

6.3.1. The individuals and teams responsible for executing the various work packages should have their progress assessed through a system of regular checkpoint reporting of progress against plan.

Do you use some kind of checkpoint reporting?

6.3.2. Completed work packages should be formally handed over to and accepted by the Project Manager for feeding into the quality review system - *see section 8 below*.

6.4. How are changes managed within the project?

6.4.1. There should be a formal change control process based around a project issues system. Project Issues can be questions of all kinds or, more specifically, requests for changes in requirements, requests for changes to improve products, or reports of things going wrong (which may be called 'Off Specification' reports)

Do you have a project issues system?

6.4.2. Project Issues should be captured, examined and dealt with by the Project Manager.

How do you deal with reports of things going wrong, such as activities running over time or over budget, or inability to deliver products as specified?

How do you deal with requests for changes in requirements, products, etc.

6.4.3. Where the Project Manager is unable to resolve matters, an Exception Report is produced for the Project Board. An exception report should result in a Mid Stage Assessment meeting to decide what changes need to be made to the Stage and Project Plans. The changed plans are referred to as Exception Plans.

What systems do you have for escalating project issues to the Project Board?

How does exception reporting work?

6.5. How is the Project board kept informed about and involved in overall progress?

6.5.1. There should be a short periodic highlight report produced by the Project Manager for the Project Board.

Do you use some kind of highlight reporting to the Project Board?

6.5.2. The Project Board should give ad hoc direction and advice both informally, on a day to day basis, and formally, at meetings.

How do the Project Board give ad hoc direction on various matters?

6.6. How is progress reviewed at the end of each Stage?

6.6.1. The end of each stage should be formally reviewed through an End Stage Assessment and reported through an End Stage Report and Lessons Learned Report.

Do you hold End Stage Assessments?

Do you produce End Stage Reports and Lessons Learned Reports?

6.7. Ask to see:

- **a Work Package Authorisation**
- **a Checkpoint Report related to that work package**
- **the Work Package delivered**
- **an example Highlight Report**
- **an example Project Issue Report**
- **an example Off-Specification Report**
- **An example Request For Change Report**
- **The Project Issue Log**
- **An example Exception Report**
- **An example End Stage Report**
- **An example Lessons Learned Report**

7. MANAGEMENT OF RISK

7.1. What is the Project's overall management of risk strategy?

7.1.1. The Project initiation document should outline the management of risk approach to be adopted within the Project and its Stages.

Does your PID explain your approach to managing risk?

7.2. What risk analysis has been undertaken?

7.2.1. The method of analysing business and Project risks is a matter for the Project, however, the results of the risk analysis should be available in documentary form.

Do you have a risk assessment or risk log for the Project?

7.3. What action has been taken to manage the identified risks?

7.3.1. Risk management plans should have been prepared and be available in documentary form.

Do you have risk management plans for the Project? (N.B. these may be part of the risk log)

7.4. How often are the risk assessment and risk management plans updated?

7.4.1. Management of risk products should be formally reviewed at appropriate intervals, either as part of end Stage assessments, or else every six to 12 months.

When and how was your risk log last reviewed?

7.5. How is the Project Board kept informed about and involved in management of risk activity?

7.5.1. Management of risk activities and products should be discussed at appropriate intervals at meetings of the relevant Project Board

Are risk matters included in highlight reports and discussed at meeting of the Project Board?

7.6. What risk communication is there between the Programme and the Project?

7.6.1. A mechanism for risk communication should exist. This will probably be through a combination of day to day informal discussions, formal involvement in workshops, and formal/informal contact with the Programme Manager or Business Change Manager.

Have any risks been formally communicated from the Project to the Programme?

7.7. Ask to see:

- **the Project's management of risk strategy;**
- **the risk assessment (which may be part of the risk log); and**
- **the risk management plan (which may be part of the risk log).**

8. QUALITY

8.1. What is the Project's overall approach to quality?

8.1.1. There should be an overall system for assuring the fitness for purpose of the Project's products. Quality approaches will vary within Projects, depending on the importance of the products, ranging from informal quality review and sign-off by the Project Manager or Project Board, through to the formal quality review technique with a review panel organised by the Assurance Co-ordinator to review a product against the quality criteria specified in the product description. Each formal or informal process undertaken should be logged.

What systems are used for quality review?

How far is the formal quality review process used to assure Project products?

Do you keep a log of all quality activities undertaken?

8.2. (For development Projects) How will you know that the final product(s) are fit for purpose?

8.2.1. The initiation of development Projects/stages should include the definition of acceptance criteria

How did you go about defining acceptance criteria such as target dates, performance levels, capacity, reliability, etc?

8.3. Ask to see:

- **the Project's quality strategy or quality plan;**
- **the quality log;**
- **an example of all documentation from a formal quality review;**
- **the acceptance criteria for the final product(s).**

9. CONFIGURATION MANAGEMENT

9.1. How is the Project's filing system organised?

9.1.1. The Project filing system should include records of systems and software *used* by the Project, as well as of paper and software products *produced* by the Project.

What records are kept of the systems and software used by the Project?

What records are kept of the paper and software products produced by the Project?

10. CONTROLLED PROJECT CLOSE

10.1. How are you planning to bring the project to a close?

There should be a formal decommissioning of the project, which deals with handover of the system, handover of any outstanding issues, return of staff/resources to the client's workforce and evaluating the project to ensure appropriate lessons learned are disseminated to others.

How will the final system be handed over to and accepted by the customer?

How will any outstanding issues or follow on actions be dealt with?

How will Lessons Learned be shared with other projects and the Programme?

10.2. Ask to see

- **Lessons Learned Report**
- **End Project Report**

10.3. What plans are there for a Post Implementation Review?

10.3.1. This will be after implementation of the final product to determine whether the benefits envisaged in the business case have been achieved.

How will you be able to show that the benefits of implementing the products of this project have been achieved?