

# P3M3® – Project Model



## 5. Project Management Maturity Model

This model is based on best practice guidance and OGC's PRINCE2™ publications, along with experience gained from the Project Management Maturity Model and the original version of P3M3.

### Definition of project management

OGC defines a project as a unique set of coordinated activities, with definite starting and finishing points, undertaken by an individual or team to meet specific objectives within defined time, cost and performance parameters as specified in the business case.

Project management guides a project through a visible set of activities, from controlled start-up, through delivery, to controlled closure, and review. There will be visible milestones and well-managed resources, stakeholders and interdependencies, with all parties involved being clear about their goals and individual responsibilities.

### Characteristics of project management

Good project management will be expected to have the following characteristics.

- A finite and defined lifespan
- Defined and measurable business deliverables that contribute towards the achievement of business objectives
- A defined amount of resources
- Delivery of capabilities from which business benefits and performance improvements can be leveraged
- An organizational structure, with defined roles and responsibilities
- Focus on management and coordination
- Delivery of outputs within time and cost constraints
- Quality management, focusing on fit-for-purpose outputs based on requirements
- Business cases containing an accurate budget for output delivery
- Risk management focused on costs, quality and timescales for delivery
- Issue management is proactive and focused on ensuring successful delivery
- Project plans that are both product and activity orientated

- Effective engagement with the stakeholder environment, focusing on achieving stakeholder requirements.

Projects should contribute to business objectives. Typically, their funding is identified as part of overall business planning. They may be part of an wider programme of business change.

### Attributes of project management

The following sections set out the attributes for each of the seven Process Perspectives within the Project Management Maturity Model, at each of the five Maturity Levels, along with a description of each attribute.



**PjM3 - Management Control – Level 1****Description**

Project management terminology is used by some members of the organization but not consistently and possibly not understood by all stakeholders.

Projects will be conducted and managed according to individual preferences.

**Specific Attributes**

1. Some projects recognized and some specific objectives
2. Ad hoc configuration management
3. Some projects may have a person designated as project manager
4. Some projects will be subject to some rudimentary management activities, such as outline planning, and recognition of key activities and resources undertaking those activities
5. Projects poorly documented with poorly defined end-point
6. Some projects may be considered to have been a success, but there is little on which to build and reduce the risk for new projects

**Generic Attributes**

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

**PjM3 - Management Control – Level 2****Description**

The concepts of project management will have been grasped by the organization, and there may be local experts, such as experienced project managers, working on key projects.

**Specific Attributes**

1. Evidence of project framework used to facilitate planning and in change management, but not consistent across the organization

2. Issues resolved locally with little consultation with other areas
3. Some change control but only at local level
4. Project monitoring and control may be sufficiently robust to provide adequate visibility of actual project progress and enable effective action to be taken if project performance deviates significantly from project plan
5. Work may be ongoing to establish an organization-wide project management approach through recognition of a project life cycle, supported by document templates, tools and techniques, but is yet to be established
6. Key documents and other assets recognized throughout project life cycle
7. Each project has a recognized framework but standard project management processes and fully supported methods not yet adopted across entire organization
8. Little impact assessment on business operations prior to transition
9. Tool and method selection may be localized
10. Localized information structures with some information sharing between teams
11. Local configuration management arrangements defined, perhaps with file-naming conventions and local storage arrangements

**Generic Attributes**

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record
8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization

9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
10. Planning seen as activity tracking rather than proactive/forecasting
11. Estimation is more “guesstimation” and does not use standard techniques

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### **PjM3 - Management Control – Level 3 Description**

There is a centrally defined and documented approach to a project management life cycle and controls, and it is applied in all projects by capable staff who support project teams.

#### **Specific Attributes**

1. Fully documented and supported project life cycle across the organization, with gates or stage reviews to maintain control followed by all projects
2. Issue management and change control procedure integrated and consistent across the organization
3. Project managers accustomed to tailoring standard project framework to meet needs of specific projects
4. Projects ensure that it is feasible to deliver solutions that satisfy relevant requirements
5. Variations to project deliverables subject to change control procedures and approved as appropriate
6. Standard processes, procedures and templates to enable consistent management control of projects
7. Decisions to begin transition signed off by key business managers
8. Project deliverables accord with product descriptions and are reviewed against agreed quality criteria that match strategic objectives and are traceable throughout project life cycle
9. Product or service handover to operational staff planned at early stage
10. Project Boards with business representation exist and have clearly defined purposes, based on standard model
11. Formal reviews planned and undertaken at appropriate stages in project life cycle, perhaps involving members of other teams, the business and external reviewers

12. There will be active consideration of transition management to ensure that project deliverables are capable of being exploited by the user

#### **Generic Attributes**

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place
5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively
10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

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### **PjM3 - Management Control – Level 4 Description**

Project management is seen as a key tool for the delivery mechanism of change.

Within the project environment the focus is on improvement of delivery through measurement and analysis of performance.

#### **Specific Attributes**

1. Evidence of projects being stopped or diverted to gain better alignment with other initiatives and optimize project delivery environment
2. Knowledge management is a central function and is used to help improve performance
3. Succession plans for key roles
4. Development plans for all team members

5. Project management metrics used to monitor and control projects in quantitative terms
6. Project Boards show high degree of engagement and active decision-making to improve delivery
7. The organization routinely collects performance data from projects and uses it to characterize process capability
8. Inter-project dependencies actively managed
9. Projects maintain business focus and alignment through a sponsor or project executive fully conversant with project management methods and techniques
10. Project reports used to inform management on risk and provide assurance that projects are on track towards desired outcome
11. Project Boards have appropriate business representation, including supply chain, where appropriate
12. Project Board membership perceived as providing opportunity to improve, and is consequently well supported by senior management
13. Project reviews centrally managed and conducted at appropriate value assurance points
14. Assets stored in secure repository, with access by those with appropriate clearance
15. Dynamic configuration management system with audit trails and ability to revert to earlier builds and baselines
16. Controls on entry into, and exit from, configuration management system
7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles

### PjM3 - Management Control – Level 5

#### Description

Management controls ensure that the project approach delivers the change objectives of the organization.

Acceptance of project management as the optimal approach to change delivery is organization-wide. There is evidence of continual improvement.

#### Specific Attributes

1. Underlying causes of project issues and recognized problems are identified and changes implemented to minimize recurrence in future projects
2. Common causes of product defects and process non-compliance analyzed and action taken to prevent recurrence
3. Objective achievement by projects reviewed by the organization and lessons learned fed into other projects
4. Guidance available to project managers and teams routinely reviewed and updated to reflect indicators from previous experience
5. Established sizing measures and complexity indicators for projects used to adjust risk profile and signal requisite level of control to be applied
6. Overarching timetable of project plans, reviewed by Executive Board
7. Configuration management embedded in all activities, with extensive consultation and consideration
8. Referencing and storage systems integrated with organizational approaches

#### Generic Attributes

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly

#### Generic Attributes

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning
4. Reviews focus on opportunities to improve as well as compliance
5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement

4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

### **PjM3 - Benefits Management – Level 1**

#### **Description**

There is some recognition that the concept of benefits can be differentiated from project outputs.

#### **Specific Attributes**

1. Requirements defined in terms of features and results rather than measurable performance improvement
2. Benefits seen as justification rather than core element of project's delivery
3. Little or no recognition of how benefits are to be managed and realized

#### **Generic Attributes**

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

### **PjM3 - Benefits Management – Level 2**

#### **Description**

Benefits are recognized as an element within project business cases. There may be some documentation regarding who is responsible for particular benefits and their realization, but this is unlikely to be followed through or consistent.

#### **Specific Attributes**

1. Evidence in some projects of understanding of differences between product features, outputs and outcomes
2. Responsibility for benefits may be assigned within some project business cases but outside project team
3. Role of sponsor or project executive in benefits management and realization may be articulated in some projects
4. May be some benefit measurement criteria
5. Different areas manage and account for benefits in different ways
6. Post-project reviews focused on project activities and deliverables rather than achievement of benefits

#### **Generic Attributes**

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record
8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization
9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
10. Planning seen as activity tracking rather than proactive/forecasting
11. Estimation is more "guesstimation" and does not use standard techniques

**PjM3 - Benefits Management – Level 3****Description**

There is a centrally managed and consistent framework for defining and tracking the realization of benefits from project outputs.

**Specific Attributes**

1. Measures of project success are becoming defined and explicit
2. Common approach and processes that ensure consistency across all projects in relation to benefits measurement and realization
3. Benefits management process described within project business case
4. Changes to project considered against impact on benefits
5. Common set of tools and templates used for benefits management activities, including their detailed description
6. Benefits documents stored centrally and subject to change control
7. Detailed statements explaining how benefits will be achieved from project deliverables
8. Benefits calculated in financial terms against centrally managed assessment criteria
9. Clear responsibilities for benefits realization cited in business cases
10. Post-project benefit reviews used to report formally on outcomes and benefit realization

**Generic Attributes**

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place
5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively

10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

**PjM3 - Benefits Management – Level 4****Description**

Benefits management is embedded within the project management approach and there is a focus on delivery of business performance from project outputs.

Project performance metrics are collected and analyzed.

**Specific Attributes**

1. Processes in place to identify and resolve double counting of benefits
2. Benefits defined at programme level and may be cascaded down to projects
3. Benefit reviews undertaken regularly and action taken to leverage opportunities
4. Complex variety of benefits measures designed and applied according to circumstances (e.g. Balanced Scorecard)
5. Common, performance-based benefits measurement and assessment mechanisms in place
6. Clear and active ownership of plans to improve performance from project outputs
7. Processes for management of benefits realization owned, reviewed and being improved
8. The organization ensures that claimed benefits are realistic and endorsed by the sponsor or project executive

**Generic Attributes**

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning



4. Reviews focus on opportunities to improve as well as compliance
5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement
7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles

### **PjM3 - Benefits Management – Level 5**

#### **Description**

Benefits management is embedded within the organizational approach to change and is assessed as part of the development of organizational strategy.

Business performance metrics are linked to, and underpin, the recognition of benefits realization. There is evidence of continual improvement.

#### **Specific Attributes**

1. Clear links between strategic decision-making and benefits realization
2. Evidence of development and innovation of techniques based on experience of realizing a variety of benefits in several different environments
3. Active management of opportunities to enhance benefits realization
4. Decisions taken to balance benefits and “dis-benefits” based on statistical measures
5. Strategic priorities affect benefit measures (e.g. changes to strategic Key Performance Indicators are filtered down into projects)
6. Post-project benefit reviews studied, trends established, and lessons learned fed back into benefits realization planning and other management activities

#### **Generic Attributes**

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly

4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

### **PjM3 - Financial Management – Level 1**

#### **Description**

There is little or no financial control at project level. There is a lack of accountability and monitoring of project expenditure.

#### **Specific Attributes**

1. Projects poorly defined and difficulties experienced in setting realistic budgets or cost envelopes
2. No process for projects to bid for funds
3. Projects lack control mechanisms to track costs and project expenditure
4. Little formal project investment appraisal, with formal business cases rarely submitted and monitored
5. Operational input costs assumed and not accounted for

#### **Generic Attributes**

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking



**PjM3 - Financial Management – Level 2****Description**

Project business cases are produced in various forms and the better and more formal cases will present the rationale on which to obtain organizational commitment to the project. Overall cost of the project is not monitored or fully accounted for.

**Specific Attributes**

1. Project business case approval processes at local level only
2. Some projects have business cases and there is occasional reporting of progress and costs incurred
3. Some project business cases contain more than one option to justify the design intent or preferred solution
4. Budgeting cost management at project level is inconsistent across projects and unlikely to be well integrated with the organization's financial processes
5. Budgets for funding changes as well as project outputs not included in business cases

**Generic Attributes**

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record
8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization
9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
10. Planning seen as activity tracking rather than proactive/forecasting

11. Estimation is more "guesstimation" and does not use standard techniques

**PjM3 - Financial Management – Level 3****Description**

There are centrally established standards for the preparation of business cases and processes for their management throughout the project life cycle.

Project managers monitor costs and expenditure in accordance with organizational guidelines and procedures, with defined interfaces with other financial functions within the organization.

**Specific Attributes**

1. Standardized approach to project business case development
2. Business cases approved centrally, making budget limitations explicit
3. Issues and risks assessed in financial terms
4. Guidelines exist on costs to be included in, and excluded from, budgets
5. Projects have distinct budgets and expenditure against budget is tracked and reported on
6. Clearly defined authorities for expenditure levels, with cost and expenditure reported on using agreed templates or pro-forma reports
7. Contract placement using professional procurement support to ensure best value for money
8. Standard financial estimation and value for money techniques deployed consistently across projects
9. Business cases reviewed at explicit stages in project life cycle and actions taken to put projects back on track
10. Evidence of operational sign-off for any additional costs imposed by project
11. Capital and revenue costs accounted for differently
12. Centrally agreed project budgets, making it clear when and where funding will be available

**Generic Attributes**

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures

4. Independent reviews take place
5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively
10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

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#### **PjM3 - Financial Management – Level 4 Description**

The organization is able to prioritize investment opportunities effectively in relation to the availability of funds and other resources.

Project budgets are managed effectively and project performance against cost is monitored and compared.

##### **Specific Attributes**

1. Funds for use by projects scheduled optimally
2. Business cases at core of decision-making
3. Financial tolerances monitored effectively across all projects
4. Financial appraisals of project viability routinely conducted
5. Cost management at project level fully integrated with the organization's financial management functions
6. Auditing of project expenditure routinely undertaken
7. Risks evaluated in financial terms and economically viable response plans formulated and agreed
8. Earned value concepts of project activity may be deployed, as appropriate
9. Lessons on cost estimation shared across projects

10. May be an Investment Board overseeing all project financial performance
11. Analysis of expenditure across projects used to release and constrain funds in a sophisticated way
12. Structured approach to handing over financial assets and costs to operational groups
13. Formal business reviews undertaken at various stages in project life cycle to ensure that business cases continue to present an accurate picture of desirability, viability and feasibility of projects

##### **Generic Attributes**

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning
4. Reviews focus on opportunities to improve as well as compliance
5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement
7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles

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#### **PjM3 - Financial Management – Level 5 Description**

Project financial controls are fully integrated with those of the organization. Cost estimation techniques used at the project level are continually reviewed in terms of actual versus estimate comparisons to improve estimation throughout the organization.

There is evidence of continual improvement.

##### **Specific Attributes**

1. Project budget estimates reviewed at all planning checkpoints and refreshed accordingly
2. Changes in overall project cost and stage cost profiles escalated to, and reviewed by, senior management

3. Costs incurred used to forecast future costs and budgetary impact
4. Project financial approvals process integrated into organizational financial approvals process
5. Project financial risks escalated as appropriate, with effective mitigation and solutions sought
6. High degree of accuracy in forecasting project costs within agreed tolerance allowances
7. Project costs integrated with organizational financial plans
8. Objective and regular assessment of the optimal use of finances, and review of opportunities to identify better value from supply chain and market place
9. Investment Board overseeing all project financial performance
10. Value for money tracking of all projects

#### Generic Attributes

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly
4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

### PjM3 - Stakeholder Engagement – Level 1

#### Description

Stakeholder engagement and communication is rarely used by projects as an element of the delivery toolkit.

#### Specific Attributes

1. Concept of stakeholder engagement may be acknowledged but is undefined
2. Projects communicate with stakeholders on ad hoc basis, relying on individuals within the team taking the initiative
3. No structured approach to stakeholder engagement and communications

#### Generic Attributes

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

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### PjM3 - Stakeholder Engagement – Level 2

#### Description

Projects will be communicated to stakeholders, but this is linked more to the personal initiative of project managers than to a structured approach being deployed by the organization.

#### Specific Attributes

1. Evidence may exist of more sophisticated analysis and communications planning for some projects
2. Most stakeholder analysis is basic and inconsistent, limited to the issue of what stakeholders are interested in
3. Projects recognize stakeholder groupings but are limited to local knowledge
4. Some projects have their own communications plans but they focus on merely transmitting information
5. Outgoing communications channels from projects are limited, with focus on email or websites

6. Some stakeholders advised or consulted, and feedback processed
7. Key messages delivered inconsistently, with no audit trails
8. Key individuals have practical experience and are the source of most communications activity
9. Communications interdependency tracking between initiatives is limited
10. Structured approach beginning to evolve, but based on good practice of one or two key individuals

#### Generic Attributes

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record
8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization
9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
10. Planning seen as activity tracking rather than proactive/forecasting
11. Estimation is more "guesstimation" and does not use standard techniques

### PjM3 - Stakeholder Engagement – Level 3

#### Description

There is a centrally managed and consistent approach to stakeholder engagement and communications used by all projects.

#### Specific Attributes

1. Centrally defined and consistent approach, and supporting process, for identifying and analyzing stakeholders
2. Projects consider stakeholder needs and stakeholders are actively involved in decision-making
3. Corporate communications (or equivalent) are involved in development of stakeholder engagement processes and procedures
4. Stakeholders have authority and clearly defined roles within project
5. Audit trails of communications maintained for all projects
6. Structured, centrally managed communications plan balances communications from all projects
7. Communications channels vary and are used to target and deliver messages effectively
8. Communications budget exists
9. Much of this approach is provided by the permanent Project Office

#### Generic Attributes

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place
5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively



10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

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### **PjM3 - Stakeholder Engagement – Level 4 Description**

Sophisticated techniques are used to analyze and engage the project stakeholder environment effectively, and quantitative information is used to underpin the assessment of effectiveness.

#### **Specific Attributes**

1. Sophisticated approach to analyzing, segmenting and maintaining stakeholder perspective information
2. Extensive range of communications channels and techniques used to deliver messages
3. Effectiveness of communications and stakeholder engagement is measured, and is high
4. Critical stakeholders embedded in decision-making process
5. Stakeholder reactions analyzed, and evidence of proactive communications management to influence stakeholder attitudes and levels of support
6. Project leaders engaged with and supporting communications activities
7. Stakeholder identification and analysis covers internal and external groups, with information maintained centrally
8. Projects with high levels of market or community consultation are common at this level

#### **Generic Attributes**

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning
4. Reviews focus on opportunities to improve as well as compliance

5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement
7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles

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### **PjM3 - Stakeholder Engagement – Level 5 Description**

Communications are being optimized from extensive knowledge of the project stakeholder environment, to enable the projects to achieve their objectives.

There is evidence of continual improvement.

#### **Specific Attributes**

1. Stakeholder engagement embedded in the organization's culture
2. Communications active, bi-directional and embedded in decision-making process
3. Stakeholders fully engaged in change process at all levels
4. Communications recognized by project leaders as a key leadership tool
5. Communications measured, relevant and trusted

#### **Generic Attributes**

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly
4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths

8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

### PjM3 - Risk Management – Level 1

#### Description

There is minimal evidence of risk management being used to any beneficial effect on projects.

There may be evidence of risks being documented but little evidence of active management.

#### Specific Attributes

1. Some risks may be identified and associated with particular projects, but are not described or registered consistently, and there will be little, if anything, in terms of an effective risk management process
2. Focus of management attention is on dealing with issues as they arise, with a reactive rather than proactive approach
3. Risks arbitrarily classified and rarely, if ever, quantified
4. Risk identification likely to be a one-off activity and risks unlikely to be tracked or re-assessed during project life cycle
5. Foreseeable threats likely to impact on projects
6. Little, if any, communication with other parts of the organization concerning project risk

#### Generic Attributes

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

### PjM3 - Risk Management – Level 2

#### Description

Risk management is recognized and used on projects, but there are inconsistent approaches, which result in different levels of commitment and effectiveness.

#### Specific Attributes

1. Different areas and projects manage risk in different ways
2. Some projects recognize different categories of risk (e.g. distinguishing between project and operational risks)
3. Risk response strategies and plans are likely to have been ineffective in the past
4. Inconsistency of approach to the assessment of risks
5. Risk register based on an organizational template may be used, but escalation and communication on risks outside the project may be ineffective
6. Local risk management processes in place and managed by Project Board and teams
7. Risk management not aligned with other project life cycle activities (e.g. project planning)
8. Risk status reported to Project Board on ad hoc basis, if at all
9. Key project managers understand and articulate the purpose and importance of risk management, but inconsistent levels of commitment and understanding across all projects or the organization

#### Generic Attributes

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record

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|---|--|
| <ol style="list-style-type: none"> <li>8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization</li> <li>9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally</li> <li>10. Planning seen as activity tracking rather than proactive/forecasting</li> <li>11. Estimation is more “guesstimation” and does not use standard techniques</li> </ol> | <ol style="list-style-type: none"> <li>5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement</li> <li>6. Plans developed to a central and consistent standard that is output- or goal-based</li> <li>7. Plan development takes into account a range of relevant factors</li> <li>8. Evidence of effective estimating techniques</li> <li>9. Dependencies are identified, tracked and managed effectively</li> </ol> |
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### PjM3 - Risk Management – Level 3

#### Description

Project risk management is based on a centrally defined process that is cognizant of the organization's policy for the management of risks and is used consistently.

#### Specific Attributes

1. Standard risk management templates and tools used extensively and consistently
2. Risks identified, assessed and controlled in accordance with recognized procedures, across all projects
3. Regular reviews, addressing broader opportunities for improvement as well as compliance
4. Reviews seen as a positive opportunity to improve, not a threat
5. Risk management interventions embedded within project life cycle
6. Risks consistently categorized by type (e.g. commercial, operational or strategic)
7. Audits of risk within projects
8. Processes exist for escalation of project risks
9. Risks not limited to internal impact on project goals
10. Risk assessment techniques defined and deployed consistently

#### Generic Attributes

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place

10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

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### PjM3 - Risk Management – Level 4

#### Description

Project risk management is working effectively, is embedded, and the value of risk management can be demonstrated.

There is evidence of opportunity management and management of risk aggregation.

#### Specific Attributes

1. Projects able to demonstrate resource and budgetary implications of risks throughout project life cycle
2. Cost effectiveness and feasibility of response measures demonstrable across all projects
3. Audits of risk management effectiveness
4. Aggregated risk levels across projects tracked and managed
5. Clear understanding of level of risk exposure from projects being undertaken
6. Evidence of lessons being learned from project reviews and assurance reviews
7. Risk management seen as organizational process, with clear ownership
8. May be a risk manager, providing guidance and controls
9. Evidence of decision-making based on risk assessment

10. The business and project stakeholders generally feel comfortable with the management of project risks, and are involved as appropriate

#### Generic Attributes

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning
4. Reviews focus on opportunities to improve as well as compliance
5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement
7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles

8. Strong links and integration with financial management, planning, estimating, project control and governance processes, and risks to project benefits are highlighted and examined

#### Generic Attributes

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly
4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

### PjM3 - Risk Management – Level 5 Description

Risk management is embedded in the organizational culture and underpins all decision-making within projects. There is evidence of continual improvement.

#### Specific Attributes

1. Accountability for management of risk at Executive Board level
2. Executive Board has clear visibility of risk exposure to the organization from projects
3. Risk assessment underpins all decision-making
4. Projects ensure adequate consideration of business continuity, especially on business handover
5. Evidence of opportunity risks being actively managed
6. Risk management policy and supporting governance arrangements periodically reviewed for effectiveness
7. Business intelligence informs risk management process and has clear cascade and escalation route

### PjM3 - Organizational Governance – Level 1 Description

Some informal governance of projects exists but has undefined links to broader organizational controls. Roles are unlikely to be formally defined.

#### Specific Attributes

1. Projects start up without business control, and no evidence of sign-off at project closure
2. Project manager may exist but no clear authority and may be part-time
3. Project management activities likely to be restricted, with confusion as to what is happening within projects on a day-to-day basis and who controls what
4. Projects struggle to gain commitment and resources when required
5. Minimal business ownership of project or representation on project team



**Generic Attributes**

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic
4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

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**PjM3 - Organizational Governance – Level 2 Description**

Project management from an organizational perspective is beginning to take shape but with ad hoc controls and no clear strategic control. Roles and responsibilities will be inconsistent, as will reporting lines.

**Specific Attributes**

1. Projects initiated based on local needs
2. Decisions taken in projects not always referred upwards for verification
3. Community of project management practice may exist, but with limited effectiveness in prioritizing and coordinating process improvement across the organization
4. Not all projects will have project managers
5. Some projects may be undertaken outside the organization's governance framework and are not fully accountable
6. Projects and initiatives report progress locally
7. Changes to projects not always delivered through project manager route
8. Project Boards may exist, but with ad hoc membership, acting more as consultation groups than delivery groups

**Generic Attributes**

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle

3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record
8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization
9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
10. Planning seen as activity tracking rather than proactive/forecasting
11. Estimation is more "guesstimation" and does not use standard techniques

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**PjM3 - Organizational Governance – Level 3 Description**

Centrally defined organizational controls are applied consistently to all projects, with decision-making structures in place and linked to organizational governance.

**Specific Attributes**

1. Common definition of Project Boards (or equivalent) and their key roles and responsibilities, which are in place on most projects unless there is a clear reason for them not to be
2. Central body that monitors and influences progress of all projects and the optimal balance of current projects
3. Consolidated progress reporting on all projects
4. All key roles and responsibilities documented within individual terms of reference
5. Project ideas evaluated against consistent criteria prior to approval
6. Centralized decision-making ensures that projects fit the organization's ongoing needs
7. Functional activities of sponsor or project executive can be demonstrated for all projects

8. Evidence of sponsor or project executives ensuring that projects maintain alignment with organizational strategy, with interventions as appropriate
9. Decisions are auditable
10. Clear reporting lines set and maintained
11. Legislative and regulatory requirements built into guidelines
12. Evidence of structured start-up and closure of projects under clear business control

#### Generic Attributes

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place
5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively
10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

### PjM3 - Organizational Governance – Level 4

#### Description

There will be clearly aligned project decision-making processes that adopt and integrate with broader organizational governance and which are transparent to those involved. Project management responsibilities are embedded within broader role descriptions.

#### Specific Attributes

1. Decision-making balances need for organizational performance and continuity with need for change
2. Decision-making includes approvals from key governance groups at key critical points (gates) throughout project life cycle
3. Directors with project responsibilities exhibit appropriate knowledge and behaviours
4. Decision-making effectiveness reviewed and improvements sought
5. Strategic changes communicated to Project Board effectively
6. Senior management sponsor, and demonstrate their commitment to, improvement initiatives
7. Business performance measured against historic trends and impact of projects on business performance is fully understood
8. Evidence of ideas and requirements being scheduled and built into organizational strategic planning
9. Decisions to launch projects made against impact assessment on current initiatives

#### Generic Attributes

1. Information is current and extensively referenced for better decision-making
2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
3. Knowledge management is a central function and is used to help improve performance and planning
4. Reviews focus on opportunities to improve as well as compliance
5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
6. Extensive training is provided, focusing on personal development and performance improvement

7. Evidence of interventions to avoid conflicts and take advantage of opportunities
8. Mentoring and individual development is used to improve organizational performance
9. Succession plans exist for key roles
14. Project management embedded as core change management technique
15. Regular periodic reviews of effectiveness of governance arrangements, based on lessons learned

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### **PjM3 - Organizational Governance – Level 5 Description**

The governance arrangements for projects are a core aspect of organizational control, with demonstrable reporting lines to Executive Board level and with clear ownership and control responsibilities embedded within the organization.

There is evidence of continual improvement.

#### **Specific Attributes**

1. Projects signed off at Executive Board level, as appropriate
2. Organizational governance and accountabilities reflected throughout the organization, down to specific project responsibilities and accountabilities
3. Legal and regulatory responsibilities have visible compliance
4. Decisions on priorities and major conflict resolution resolved by reference to strategic priorities and Executive Board
5. Pre-emptive and rational project closure based on business decisions other than project performance
6. Lessons learned contribute to development of guidance on conduct of specific roles
7. Projects aligned to organization's strategic plans
8. Formal ideas management process exists, with ideas deferred or built into strategy where appropriate
9. Executive Board-level reaction to, and management of, business performance relating to project-initiated activities
10. High levels of competence in project and change management evident at Executive Board level
11. Leadership development programme includes project management education
12. Structured management of knowledge, with lessons being learned and embedded
13. Business performance actively tracked and managed, with timely interventions

#### **Generic Attributes**

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly
4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

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### **PjM3 - Resource Management – Level 1 Description**

There is some recognition within the organization of the need to manage resources effectively to enable successful delivery of projects, but little evidence of resource acquisition, planning or management.

#### **Specific Attributes**

1. Project resources allocated on ad hoc basis, but may be some awareness of core skills necessary to deliver projects
2. Minimal reporting on resource utilization
3. Project documentation does not include resourcing profiles

#### **Generic attributes**

1. Training provision is uncoordinated, with little or no knowledge sharing
2. Key individuals lack experience
3. No standard roles, and responsibilities are not defined or are generic

4. Some information available but is outdated, unstructured and dispersed
5. Limited, if any, formal checking or review
6. Plans, if any, are conceptual or merely sequences of events with rough timescales
7. Planning, if any, likely to be an initial activity with little maintenance of ownership or tracking

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### **PjM3 - Resource Management – Level 2 Description**

Resources are being deployed across the organization and individual projects have an approach to resource acquisition, planning or management. However, there is little evidence of consistency of approach.

#### **Specific Attributes**

1. Resources assigned locally to specific project activities, possibly with some recognition of particular skills and competencies
2. Resource utilization locally tracked and reported on to some extent, but little evidence of resulting actions
3. Little evidence of resource forecasting in terms of skills and competency requirements tailored to project complexity or risk
4. Resource plans do not adequately consider project handover and downstream support requirements
5. Some resource overstretch in key or pivotal positions

#### **Generic Attributes**

1. Localized information structures, with some information sharing between teams
2. Focus on documentation during start-up and definition, but not maintained over initiative's life cycle
3. Limited localized information controls, with no formal release management arrangements
4. Local reviews, with some corrective actions undertaken within the group
5. Generic training may be provided in key concepts, and there may be individuals undertaking qualification training
6. Local sharing of knowledge may exist but mostly ad hoc
7. Key individuals may have practical delivery experience and track record

8. Roles, responsibilities and competencies defined in some areas but not consistently across the organization
  9. Plans exist but are not underpinned by consistent development methodology, yet may still be effective locally
  10. Planning seen as activity tracking rather than proactive/forecasting
  11. Estimation is more "guesstimation" and does not use standard techniques
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### **PjM3 - Resource Management – Level 3 Description**

The organization has a centrally defined and adopted set of procedures and management processes for acquiring, planning and managing project resources.

#### **Specific Attributes**

1. Centrally defined and adopted set of procedures in place for resource management
2. Work to be carried out by third parties or contractors defined and planned in accordance with documented procedures and reviewed at key milestones or project stages
3. Frameworks in place with external market for provision of resources to meet shortages and expertise peaks
4. Resource utilization tracking and productivity monitoring occasionally undertaken, using industry standard techniques
5. Resource planning undertaken in broadest sense, not limited to human resources
6. Some collaboration between project teams or recognition at organizational level of opportunities for sharing critical or limited resources
7. Potential issues arising from resource availability identified and escalated
8. Evidence of induction planning and activities when joining project teams

#### **Generic Attributes**

1. Information has a refresh cycle or is regularly accessed
2. Organization-wide information standards on confidentiality, availability and integrity
3. Formal information release management procedures
4. Independent reviews take place



5. Scrutiny largely for compliance reasons, identifying failures rather than opportunities for improvement
6. Plans developed to a central and consistent standard that is output- or goal-based
7. Plan development takes into account a range of relevant factors
8. Evidence of effective estimating techniques
9. Dependencies are identified, tracked and managed effectively
10. Training is focused on the organization's approaches and raising competence of individuals in specific roles
11. Forums exist for sharing organizational experience to improve individual and organizational performance
12. Centrally managed role definitions and sets of competencies defined and used to support appointments

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#### **PjM3 - Resource Management – Level 4 Description**

Resource management for projects is considered at a strategic level within the organization.

There is evidence of resource capacity management, through capacity planning, in order to meet project delivery needs.

##### **Specific Attributes**

1. Resource utilization and efficiency is tracked and measured
2. Training and mentoring focused on performance improvement rather than qualifications
3. Minimal dependence on key individuals, with resource risks managed using defined response plans
4. Active leveraging of supply chain to optimize resource utilization between internal and external resource pools
5. Central resource management tools in place, maintained and supporting projects
6. Resource availability and utilization quantitatively measured
7. Senior management attempting to understand business demand for project resources and, through forecasts, attempting to influence demand and prioritize projects

8. Induction and extraction plans for individuals joining and leaving project teams

##### **Generic Attributes**

1. Information is current and extensively referenced for better decision-making
  2. Trend analysis and measurement undertaken on performance information to identify improvement opportunities
  3. Knowledge management is a central function and is used to help improve performance and planning
  4. Reviews focus on opportunities to improve as well as compliance
  5. Plans kept up to date, with the application of sophisticated planning techniques and recognition of interdependencies
  6. Extensive training is provided, focusing on personal development and performance improvement
  7. Evidence of interventions to avoid conflicts and take advantage of opportunities
  8. Mentoring and individual development is used to improve organizational performance
  9. Succession plans exist for key roles
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#### **PjM3 - Resource Management – Level 5 Description**

Resources are deployed optimally. There is clear evidence of load balancing and the effective use of both internal and external resources across projects.

There is evidence of continual improvement.

##### **Specific Attributes**

1. Active strategies for development of internal capacity and capability
2. The organization will have an explicit policy for improving its technical capability and will have improvement plans that recognize business demands and constraints
3. Flexible resource availability and movement between projects, programmes and operations
4. Resource allocation based on resource availability and competency requirements across projects
5. Project managers have an understanding of business processes and objectives and are able to ensure that project resources are sufficiently focused on business needs

6. Senior management ownership of capability building and associated risks
7. Active supply chain collaboration to deploy and utilize optimal set of skills in projects

**Generic Attributes**

1. Information is valued, with continual maintenance and reference
2. Evidence of extensive intelligence-gathering processes, with information disseminated through a variety of channels
3. Review and improvement is continual and proactive, with lessons being shared openly
4. Planning inherent in decision-making process, with adjustments and implications managed and deployed
5. Active management of interdependencies between initiative plans and other business plans
6. Estimations are accurate and used effectively to ensure delivery
7. High levels of competence embedded in all roles and seen as part of career paths
8. Knowledge transfer is an inherent behaviour within the organization
9. Skills embedded into organizational leadership and management development programmes

