

P3M3® – Programme Model



4. Programme Management Maturity Model

This model was developed from research work undertaken during the preparation OGC's Managing Successful Programmes (MSP™) framework and the subsequent experiences of MSP and the original version of P3M3.

Definition of programme management

Programmes exist to manage the complexities involved in delivering beneficial change. Programme management is focused on the areas of tension between strategic direction, project delivery and operational effectiveness. Mature organizations recognize and manage this effectively.

For the purposes of P3M3 a programme is defined as a temporary, flexible organization created to coordinate, direct and oversee the implementation of a set of related projects and activities in order to deliver outcomes and benefits related to the organization's strategic objectives.

A programme is likely to have a lifespan of several years. During a programme's life cycle, projects are initiated, executed and closed. Programmes provide an umbrella under which projects can be coordinated, and the programme integrates the projects so that it can deliver an outcome greater than the sum of its parts.

Characteristics of programme management

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

- Focus will be on direction and delivery of organizational strategy
- The delivery of a coherent capability will underpin programme activities
- Visions and blueprints will be within the programme perimeter
- Timescales may be loosely defined but there will be a definite end point
- Risk will be viewed in terms of aggregation and operational transition
- Issue orientation will be towards resolving inter-project escalations and benefits delivery
- Benefit realization will be dominant, with significant focus on the rigour of benefit descriptions and realization delivery

- Stakeholder management will be focused at all levels within the organization and on key external influencers
- Governance will be achieved through consistent programme strategies and the application of organizational or portfolio standards, where they exist
- Planning will be orientated towards delivering outcomes through step changes (tranches) and managing project interdependencies
- Business cases will focus on beneficial change balanced against the cost of delivery.

Attributes of programme management

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

PgM3 - Management Control – Level 1**Description**

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

Programmes are conducted and managed according to individual preferences.

Specific Attributes

1. Programme management may be seen simply as coordination of multiple projects
2. No clear life cycle followed by individual programmes
3. Programme adoption initiatives come from project teams rather than strategic commitment
4. Any programme success is achieved through enthusiasm and determination rather than structure
5. Programme management is likely to be a vague idea, perhaps limited to one department undertaking a lot of projects and trying to coordinate them

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

PgM3 - Management Control – Level 2**Description**

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

Specific Attributes

1. Some strategic alignment of some programmes, but may be tentative and non-committal or may only exist at definition and is not maintained
2. Evidence of project-based controls and tools still being applied to some programmes

3. Programme management approach is evolving and inconsistent, but there may be evidence of good practice in some areas
4. Common vocabulary beginning to evolve
5. Good examples of deployment but with inconsistency and varying levels of commitment
6. May be some strategic acknowledgement of the value of programme management but controls tend to be focused on identification and definition

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

PgM3 - Management Control – Level 3**Description**

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

Specific Attributes

1. Central group defining programme management life cycle and management controls
2. Regular and standard progress reporting to Programme Board and governance groups
3. Programme life cycle exists, with clearly defined critical points (gates) and is applied consistently
4. Cross-project issues managed at programme level, with clearly defined escalation paths to enable resolution
5. Consistent process for identification and resolution of issues
6. Programmes have clearly defined descriptions of future state of the organization (blueprints or target operating models)
7. Programme life cycle and controls based on consistent and centrally mandated framework
8. All programmes have a Programme Board (or equivalent) that functions effectively
9. Interface between business strategy and programmes maintained throughout life cycle
10. May be over-focus on templates, causing inflexibility, but with recognition of need for flexibility

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

PgM3 - Management Control – Level 4 Description

Programme management is seen as a key tool for the delivery of strategic change objectives.

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

Specific Attributes

1. Flexible consideration of route and controls for programmes, applying controls as and when necessary, such as at critical points (go/no-go decision points)
2. Processes reviewed and evidence of best practice and latest techniques being adopted
3. Organization-wide acceptance of a common approach that is supported by management behaviour
4. Programme life cycle focused on delivering increasing organizational capability
5. Flexible deployment of programme life cycle
6. Programme progress reported regularly to Executive Board
7. Effective management of programmes using benchmarks and metrics to track progress
8. Blueprints (or target operating models) and defined outcomes at the core of planning and progress measurement
9. Programmes reviewed at critical points (go/no-go decision points) and direction changes take place when required
10. Evidence of critical point reviews leading to programmes being stopped

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

PgM3 - Management Control – Level 5

Description

Management controls ensure that the programme approach delivers the strategic aims and objectives of the organization.

Acceptance of programme management as the optimal approach to strategic delivery is organization-wide.

There is evidence of continual improvement.

Specific Attributes

1. Strategic and business planning cycles integrated with programme planning cycles
2. Mature programme management processes that are proven and have been optimized to maximize the likelihood of delivery success
3. Long-term evidence of programme management commitment exemplified through numerous programmes having followed a defined life cycle
4. Subject matter experts collaborate with practitioners to optimize processes
5. Escalation routes from programmes to Executive Board are effective and provide resolutions
6. Organizational strategy directional changes include consideration of impact on programmes
7. Evidence of programmes diverted or stopped after review

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

PgM3 - Benefits Management – Level 1

Description

There is some recognition that the concept of benefits can be differentiated from programme outcomes.

Specific Attributes

1. No consolidation of project benefits
2. Benefits defined in terms of outputs and results rather than measurable performance improvement
3. Benefits management has no common understanding or definitions, but may be elements of a common vocabulary
4. Descriptions of benefits are brief and may be simply bullet point lists
5. No evidence of specific ownership of actions associated with benefits realization

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

PgM3 - Benefits Management – Level 2

Description

Benefits are recognized as an element within programme 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. Benefits described and defined but not consistently across the organization's programmes or within individual programmes
2. Benefits, where they exist, largely regarded as project orientated and will vary in different areas
3. Evidence of recognition of need to track benefits beyond "go live" activities in some areas
4. Some localized ownership of benefits
5. Measurement criteria for benefits may exist locally, but not consistently applied
6. Different areas manage and account for benefits in different ways
7. Communities of practitioners may exist and occasionally collaborate

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

PgM3 - Benefits Management – Level 3

Description

There is a centrally managed and consistent framework for defining and tracking the realization of benefits arising from programme outcomes.

Specific Attributes

1. Centrally defined benefits measurement and assessment mechanisms in place and used by all programmes
2. Centrally managed set of processes, tools and templates used for benefits management activities
3. Programme life cycle includes realization of benefits beyond the delivery of capability by individual projects
4. Allocation of ownership for business activities required to release the benefits (broader than ownership of benefits profiles)
5. Full description of each benefit and detailed explanations of how they will be achieved in structured documentation with sign-offs
6. Benefit reviews scheduled for all programmes
7. Benefits reviewed by all Programme Boards as a standard activity
8. Evidence of common approach to defining relationship between project deliverables, achievement of outcomes and realization of benefits
9. Reporting of key performance indicators relating directly to benefits
10. Benefits identified at outset of programmes and underpinning information development

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
9. Various benefit measures designed and applied, depending on circumstances
10. Ownership of benefits management processes, with evidence of active improvement and alignment
11. Flexibility in deployment of benefits management processes
12. Benefits management well established, with proven track record in managing and realizing benefits across the organization
13. Knowledge has been gained and is stored and utilized to manage benefits across the organization

PgM3 - Benefits Management – Level 4

Description

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

Programme performance metrics are collected and analyzed.

Specific Attributes

1. Processes in place to identify and resolve double counting of benefits
2. Executive Board receives regular information on benefits realization progress
3. Use of industry techniques to assess and measure progress (e.g. Balanced Scorecard)
4. Business performance measured against historic trends, and impact of programmes and projects on business performance fully understood
5. Benefits defined at programme level, cascaded down to projects and tracked
6. Benefits categorized, with a mix of long- and short-term benefits being pursued by programmes; recognition of differences between strategic benefits applicable to all programmes and those specific to individual programmes or projects
7. Benefit reviews undertaken regularly and action taken to leverage opportunities
8. "Dis-benefits" identified and actively managed as part of benefits management processes

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

PgM3 - Benefits Management – Level 5

Description

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

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 processes and benefits realization, with management of these links embedded
2. Strategic objectives have defined beneficial impacts that are clear and aligned with programme priorities
3. Development and use of innovative techniques based on experience
4. Management of opportunities to enhance benefits realization potential embedded within the organization
5. Strategic priorities seen to affect benefit realization measures and priorities

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

PgM3 - Financial Management – Level 1

Description

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

Specific Attributes

1. Programme management budgets rare
2. Weak or no financial control of project (and other initiative) expenditure, may be restricted to cost tracking at best

3. No structured approach to budget development, with budgets likely to be ad hoc and not against standards
4. Budgets seen in terms of external spend only

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

PgM3 - Financial Management – Level 2

Description

Programme 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 programme.

Overall cost of the programme is not monitored or fully accounted for.

Specific Attributes

1. May be some programme business cases, but likely to be simple aggregation of project business cases
2. Programme management costs may be seen as an overhead and benefits may not be defined
3. Local financial processes in place, but no consistency across the organization
4. Budgets for change management teams not included in programme business cases
5. Procurement undertaken inconsistently

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
9. Contracts placed using professional procurement support to ensure best value for money
10. Standard financial estimation and value for money techniques
11. Programme business cases contain a range of options that are appraised
12. Programme funding allocated as part of organizational funding schedules
13. Business case reviews scheduled and undertaken regularly

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

PgM3 - Financial Management – Level 3

Description

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

Programme 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 programme business case development
2. Issues and risks assessed in financial terms
3. Guidelines exist on broad range of costs to be included in, and excluded from, budgets
4. Programme approval processes integrated with organizational approval processes and operated by corporate finance function
5. Programmes and their projects have scheduled and managed funds
6. Clearly defined levels of authority for expenditure and sign-off
7. Centrally managed templates for developing business cases and financial plans
8. Business performance tracked for evidence of benefits realization

PgM3 - Financial Management – Level 4

Description

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

Programme budgets are managed effectively and programme performance against cost is monitored and compared.

Specific Attributes

1. Cumulative financial margins set for programme budget and at project level
2. Distinct programme and project budgets, managed and having clear accountability
3. Funds to support programme identified at organization level and factored into expenditure plans
4. Regular business case reviews at critical points (end of tranche or gates) and evidence of them being acted on
5. Financial rigour applied to programmes in a flexible manner appropriate to risks associated with programme
6. Cost of change accounted for in all programmes as well as programme and project management costs, and includes operating costs
7. Procurement and contract placement undertaken consistently

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

PgM3 - Financial Management – Level 5

Description

Programme financial controls are fully integrated with those of the organization. Cost estimation techniques used at the programme 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. Programme delivery costs built into business financial management cycle
2. Executive Board-level support and commitment to programme-related expenditure, although sometimes managed by Investment Board
3. Programme funding integrated into business planning process
4. Organizational financial risks shared with programmes and effective mitigation and solutions sought
5. Integrated approach to investment management

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

PgM3 - Stakeholder Engagement – Level 1**Description**

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

Specific Attributes

1. Concept of stakeholder engagement may be acknowledged but is undefined
2. Programmes 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

PgM3 - Stakeholder Engagement – Level 2**Description**

Some programmes will be communicated to stakeholders, but this is linked more to the personal initiative of programme 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 programmes
2. Most stakeholder analysis is basic and inconsistent, limited to the issue of what stakeholders are interested in
3. Programmes recognize stakeholder groupings but are limited to local knowledge
4. Some programmes have their own communications plans but they focus on merely transmitting information
5. Outgoing communications channels from programmes 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. 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

PgM3 - Stakeholder Engagement – Level 3**Description**

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

Specific Attributes

1. Centrally defined and consistent approach, and supporting process, for identifying and analyzing stakeholders
2. Programmes 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 programme
5. Audit trails of communications maintained for all programmes
6. Structured, centrally managed communications plan balances communications from all programmes
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 Programme 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

PgM3 - Stakeholder Engagement – Level 4 Description

Sophisticated techniques are used to analyze and engage the programme 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. Programme leaders engaged with and supporting communications activities
7. Stakeholder identification and analysis covers internal and external groups, with information maintained centrally
8. Programmes with high levels of market or community consultation are commonly 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

PgM3 - Stakeholder Engagement – Level 5

Descriptions
Communications are being optimized from extensive knowledge of the programme stakeholder environment, to enable the programmes 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 Executive Board 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

PgM3 - Risk Management – Level 1

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

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

Specific Attributes

1. Risk register may exist, but unlikely to be maintained throughout programme life cycle
2. Focus of management attention is on dealing with issues as they arise, with a reactive rather than proactive approach
3. Risk identification, if any, is a one-off activity at start-up
4. Foreseeable threats regularly impact on programmes and their projects
5. Inconsistent use of risk management terminology

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

PgM3 - Risk Management – Level 2

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

Specific Attributes

1. Different areas and programmes manage risk in different ways
2. Some programmes recognize different categories of risk (e.g. distinguishing between project and operational risks)
3. Risk responses may be ineffective, leading to over-emphasis on issues

4. Inconsistency of approach to the assessment of risks, and although there may be examples of good practice in some programmes or some parts of the business, it lacks consistency
5. Local risk management processes in place and managed by Programme Board and teams
6. Risks may be reviewed by Programme Board but with varying levels of commitment
7. Processes exist for escalating project risks to programme level, and work effectively for some programmes
8. Risk status reported to Programme Board on ad hoc basis
9. Risk management may be seen by many stakeholders as a “ritual”
10. Little reference to and understanding of early warning indicators
11. Roles and responsibilities for risk management present but inconsistent
12. Risk management may have more focus during early stages of programmes, particularly business case approval stage, but focus not maintained throughout programme life cycle

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

PgM3 - Risk Management – Level 3

Description

Programme 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. Centrally defined risk management framework defined, owned and deployed to all programmes
2. Risk management intervention points and reviews embedded within programme life cycle
3. Risks consistently categorized by type (e.g. commercial, operational or strategic)
4. Standard risk management templates and tools used extensively and consistently
5. Programme risks tend to have more focus than strategic or operational risks
6. Programme Board reviews risks as a standard agenda item
7. Risk assessment techniques defined and deployed consistently
8. There is a route for the escalation and delegation of risk responses between programme and business operations and strategy
9. Risk escalation and delegation between programme and its projects works consistently and effectively
10. Regular risk reporting to organizational functions
11. Ownership of risk responses is being applied consistently
12. Permanent Programme Office will be looking for risks spanning more than one programme, and aggregating their impact

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

PgM3 - Risk Management – Level 4 **Description**

Programme 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. Set of known standard risks defined and allocated to programmes for assessment and control
2. Aggregated risk levels across programmes tracked and managed
3. Clear understanding of level of risk exposure from programmes being undertaken
4. Reference to risk management embedded in all programme life cycle activities
5. Risk management seen as organizational process, with clear ownership
6. Flexible deployment of proven standards and techniques to help programme processes that are under continual review, with evidence of continual improvement
7. Threshold limits for early warning indicators set, with associated escalations in place
8. Risk management actively owned within line management as well as programme management

9. Evidence of expertise applied to specialist risk areas (e.g. financial, health and safety, environmental, etc.)

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

PgM3 - Risk Management – Level 5 **Description**

Risk management is embedded in the culture of the organization and underpins all decision-making within programmes.

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 programmes
3. Risk assessment underpins all decision-making
4. Organizational risk management policy and supporting governance deployed into programme environment
5. Programmes react quickly and effectively to changes in risk profile and exposure
6. Options and risk sensitivity analysis undertaken, and scenario modelling used
7. Risk appetite for each programme defined and used to manage against

8. Sophisticated approach to risk management, balancing threats and opportunities in the decision-making process

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

PgM3 - Organizational Governance – Level 1 Description

Some informal governance of programmes may exist but with undefined links to projects and/or broader organizational controls. Roles are unlikely to be formally defined.

Specific Attributes

1. Programmes and initiatives make decisions without reference to organizational hierarchy
2. Activities likely to be restricted to project coordination
3. Programmes may be linked to specific business units, with governance confined to the unit rather than integrated into the wider organization

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

PgM3 - Organizational Governance – Level 2 Description

Programme 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. Programme manager role may not have embedded organizational authority
2. Programme Boards may exist, but with ad hoc membership, acting more as consultation groups than delivery groups
3. Governance responsibilities dealt with in ad hoc way, and not in line with organizational governance requirements
4. Corporate functions not referenced in programme design and delivery
5. Business change managers or leaders may exist but roles not embedded in programme and they may lack consistency or authority

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

PgM3 - Organizational Governance – Level 3

Description

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

Specific Attributes

1. Legal and regulatory controls embedded in programme life cycle and processes
2. Decision-making within programme has audit trails
3. Process exists for stopping or changing a programme’s direction
4. Clear reporting lines within the programme, including to senior management
5. Personal objectives/performance and programme management responsibilities defined for key individuals
6. Standard programme organizational structure available for use by each programme and deployed flexibly
7. Reporting structure in place, used consistently to keep the business informed of programme progress and interweaving with current business performance reporting
8. Difference between responsibility and accountability clearly developed within programme management framework
9. Responsibility for programme processes clearly defined and linked to organizational responsibilities where appropriate
10. Central gathering of business performance information as well as programme performance information
11. Business change managers or leaders embedded within programme organization and fundamental to decision-making, with adequate authority to orchestrate any changes required
12. Business life cycle activities (e.g. year end) factored into change plans

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

PgM3 - Organizational Governance – Level 4

Description

There will be clearly aligned programme decision-making processes that adopt and integrate with broader organizational governance and which are transparent to those involved.

Programme management responsibilities are embedded within broader role descriptions.

Specific Attributes

1. Executive Board approves all programmes
2. Executive Board actively engaged with programmes and related business change activities
3. Decision-making includes equal emphasis on organizational survival and continuity with the need for change
4. Cross-reference to other Programme Boards in decision-making process

5. Clear and visible leadership or sponsoring group, to maintain strategic alignment of programmes
6. Decision-making includes approvals from key governance groups at key critical points (gates) throughout programme life cycle
7. Individual executive objectives have programme management achievements built into them
8. Post-programme reviews take place and lessons are documented and deployed
9. Decision-making effectiveness reviewed and improvements sought
10. Integration of operational and programme management techniques to enhance optimization of performance
11. Ideas and new propositions reviewed and built into programme approach throughout programme life cycle
12. Change controls include impact assessments of business processes
13. Experience of previous changes built into change plans

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

PgM3 - Organizational Governance – Level 5 Description

The governance arrangements for programmes 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. Individual terms of reference for Executive Board members include programme responsibilities
2. Organizational governance controls embedded within programme governance
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. Executive Board-level ownership of strategic outcomes and contents of programme blueprints/target operating models
6. Pre-emptive and rational programme closure based on business decisions other than programme performance
7. Organization maintains balance of programmes designed to achieve business objectives, with risk levels possibly varying
8. Alignment between organizational and programme leadership
9. Formal ideas management process exists, with ideas deferred or built into strategy where appropriate
10. Strategic transformational processes incorporate programme processes
11. Executive Board-level reaction to, and management of, business performance relating to programme-initiated activities
12. Leadership development programme includes programme leadership education

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

PgM3 - Resource Management – Level 1

Description

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

Specific Attributes

1. Recognition that programmes exist but limited or no allocation of resources for programme management
2. Programme use of resources may be unrealistic and/or have aggressive milestones that are unachievable
3. Some tracking of activity or inputs but no tracking of delivery

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

PgM3 - Resource Management – Level 2

Description

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

Specific Attributes

1. Evidence of resource management techniques deployed locally
2. Ad hoc involvement of procurement in resourcing plans
3. May be too much dependence on one type of resource, whether internal or external
4. Little evidence of strategic attempts to share resources with other programmes or initiatives but may be some examples of this developing
5. Recognition of people's capabilities but not capacity limitations
6. May be avoidance of using organizational resources for fear of interference or loss of autonomy

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

PgM3 - Resource Management – Level 3 Description

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

Specific Attributes

1. Centrally defined and owned resource management framework or policy in place for programmes
2. Frameworks in place with external market for provision of resources to meet shortages and expertise peaks
3. Resource utilization tracking and productivity monitoring occasionally undertaken, using industry standard techniques
4. Resource planning undertaken in broadest sense, not limited to human resources
5. Professional procurement support for programmes
6. Supplier selection structured and open, and compliant with organizational standards
7. Management of resource shortfalls may focus on de-conflicting problems arising between programmes, rather than on strategic resource management across the whole organization

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

PgM3 - Resource Management – Level 4 Description

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

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

Specific Attributes

1. Resource utilization and efficiency is tracked and measured
2. Evidence of interventions to de-conflict resource problems before they arise
3. Active leveraging of supply chain to optimize resource utilization between internal and external resource pools
4. Contract management skills embedded in programme team to maximize supply chain utilization
5. Evidence of benchmarking resource utilization with other organizations and programmes
6. Active management of impact of programmes on operational capacity
7. Business change teams in place, actively involved in modelling operational capacity and with capability to support programmes
8. Knowledge of business operations embedded within programme teams, helping with understanding of resource requirements
9. Central resource management tools in place, maintained and supporting programmes

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

PgM3 - 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 all programmes

There is evidence of continual improvement.

Specific Attributes

1. Active strategies for development of internal capacity and capability
2. Flexible resource availability and movement between programmes, projects and operations
3. Decisions are evidence based, with sophisticated analysis of resource availability and capacity across the organization
4. Resource modelling tools used to optimize utilization, based on a range of scenarios
5. Organizational resources are flexible and mobile, able to move seamlessly between project and programme teams
6. Procurement seen as strategic tool for developing supply chain optimization for provision of resources
7. Supply chain valued as an asset to be utilized rather than exploited

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

Feedback concerning the model should be sent to
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Feedback concerning the self-assessment should be sent to
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