



The logo features the word "PRINCE" in a bold, dark blue, sans-serif font. Below it is a stylized city skyline in a lighter blue shade. To the right of the skyline is a large, light blue number "2" with a small "TM" trademark symbol. Below the entire graphic, the words "Maturity Model" are written in a large, black, sans-serif font.

PRINCE2TM Maturity Model

March 2006

Version 1.0



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P2MM Version 1.0

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Overview

Introduction

The purpose of the PRINCE2 Maturity Model is to enable organisations to gauge, by assessment, their maturity in the use of the PRINCE2 project management method.

The model can also be used:

- To understand the key practices that are part of an effective organisational process to manage projects.
- To identify the key practices that need to be embedded within the organisation to achieve the next level of maturity.
- To understand the rationale behind the assessment questionnaire.

It can be used in one of two ways:

- As a standalone maturity model
 - As a sub-set of the broader OGC Portfolio, Programme and Project Management Maturity Model
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Benefits of Assessment

The assessment can be undertaken for organisation to deliver projects internally or those that provide a project management service.

The main benefit for organisations that deliver internal projects is that they will be able to identify their strengths and areas for improvement and build an action plan to improve their effectiveness in the use of PRINCE2. This will lead to PRINCE2 being embedded within the organisation and delivery of the full benefits of using a structured project management method.

For those organisations that provide a project management service, in addition to the above benefits they will also be able to provide evidence to their clients and prospective clients of their level of maturity in the use of PRINCE2. This could provide a marketing advantage.

**Other
References**

The PRINCE2 Maturity Model is derived from:

- The OGC Portfolio, Programme and Project Management Maturity Model (P3M3)
- OGC's Managing Successful Projects with PRINCE2 (hereafter referred to as the 'PRINCE2 Manual')

The OGC Project Management Maturity Model is itself derived from the Capability Maturity Model (CMM) of the Software Engineering Institute (SEI), based at Carnegie Mellon University, Pittsburgh.

A key difference between the PRINCE2 Maturity Model and both P3M3 and CMM, is that:

- The later contain extensive descriptions of the activities needed to support effective processes in their respective areas
 - The PRINCE2 Maturity Model contains only high-level descriptions, as the detail is already contained within the PRINCE2 Manual
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Alignment to the OGC Portfolio, Programme and Project Management Maturity Model

Introduction

The PRINCE2 Maturity Model can be used either:

- As a stand-alone maturity model for organisations to assess the maturity level for their use of PRINCE2.
- In conjunction with the OGC Portfolio, Programme and Project Management Maturity Model (P3M3), for organisations that have adopted the use of PRINCE2, to assess the maturity level for the management of their projects.

Maturity Levels

The OGC Portfolio, Programme and Project Management Maturity Model (P3M3) is based on five levels, namely:

1. Initial
2. Repeatable
3. Defined
4. Managed
5. Optimised

However, the PRINCE2 Maturity Model (P2MM) only assesses maturity at the first three of these levels and for Project Management only.

Level	P1M3	Level	P2MM
1 Initial	Does the organisation recognise projects and run them differently from its ongoing business? (Projects may be run informally with no standard process or tracking system.)	1	As P3M3
2 Repeatable	Does the organisation ensure that each project is run with its own processes and procedures to a minimum specified standard? (There may be limited consistency or co-ordination between projects)	2	PRINCE2 is adopted by projects within the organisation, but is applied inconsistently across projects within the organisation.
			Additional areas can be assessed to bring assessment in line with P1M3 Level 2
3 Defined	Does the organisation have its own centrally controlled project processes, and can individual projects flex within these processes to suit the particular project?	3	PRINCE2 has been tailored to align to other organisational processes and is the adopted standard for all projects within the organisation.
			Additional areas can be assessed to bring assessment in line with P1M3 Level 3
4 Managed	Does the organisation obtain and retain specific measurements on its project management performance and run a quality management organisation to better predict future performance?	4	N/A

5 Optimised	Does the organisation run continuous process improvement with proactive problem and technology management for projects in order to improve its ability to depict performance over time and optimise processes?	5	N/A
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Comparability of the Maturity Levels

This section provides a brief comparison of the maturity levels for the Portfolio, Programme and Project Management Maturity Model and the PRINCE2 Maturity Model

Level 1

This is the base level for both models. It is probable that an organisation at this level on one model will be at the same level on both.

However, it is possible that:

- An organisation could be at a higher level on the P1M3 and be at this level on the P2MM, because it has only just started to adopt the use of PRINCE2
- An organisation could be at a higher level on the P2MM and be at this level on the P1M3, because the P3M3 requires broader coverage of project management disciplines at Level 2.

Level 2

The models are broadly equivalent as PRINCE2 provides the minimum specified standard required at this level by the P1M3. However, PRINCE2 does not specifically address stakeholder and supplier management, which are key areas of the P1M3.

Level 3

There are more significant differences at this level as PRINCE2 does not specifically address the following:

- Information management
- The full range of project management training and education
- Matrix management across the organisation
- Inter-group co-ordination and networking

Levels 4 and 5

These levels on the P1M3 have a strong focus on:

- Measurement of project process performance
- Continuous improvement.

Neither of these is addressed by PRINCE2.

Overview of the PRINCE2 Maturity Levels

Introduction	Each level focuses on a limited set of “Key Process Areas”, see below. The PRINCE2 Maturity Model describes the “Key Practices” related to each of the process area in terms of what an organisation should be doing to establish and improve its ability to manage projects effectively and the organisational capability generally.
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Format of each Process Area	Each process area description uses three standard headings: <ul style="list-style-type: none">• Key Process Area• Purpose• Key Practices
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These headings provide a framework for describing what an organisation should be doing to establish and embed each process. These are derived from the OGC publication “Managing Successful Projects with PRINCE2”, which contains full coverage of each of the process areas.

Hierarchical structure	The levels described within the PRINCE2 Maturity Model indicate how key process areas can be structured hierarchically to provide transition states for an organisation wishing to set realistic and sensible goals for improvement. The levels facilitate organisational improvement from a relatively low level of process capability to become a mature and capable organisation with an objective basis for judging project quality and solving project issues.
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Terminology	All terminology used within this model is consistent with that used within the PRINCE2 Manual.
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Where reference is made to a particular PRINCE2 Management Product (e.g. Highlight Report) this should conform to either the Product Outline in Appendix A of the PRINCE2 Manual or a Product Description that has been produced to replace the Product Outline.

Level 1 **Initial**

Overview The organisation recognises projects and runs them differently to its ongoing business.

Key Process Areas 1.1 Project definition (See P1M3)

Level 2 **Repeatable**

Overview PRINCE2 is adopted by projects within the organisation, but is applied inconsistently across projects within the organisation.

Key Process Areas 2.1 Directing a Project
2.2 Initiating a Project
2.3 Controlling a Stage
2.4 Closing a Project
2.5 Business Case
2.6 Organisation
2.7 Plans / Planning
2.8 Management of Risk
2.9 Controls
2.10 Quality Management
2.11 Configuration Management and Change Control

Level 3 **Defined**

Overview PRINCE2 has been tailored to align to other organisational processes and is the adopted standard for all projects within the organisation.

Key Process Areas 3.1 Organisational Focus
3.2 Tailoring of PRINCE2
3.3 Training in PRINCE2
3.4 Integrated Management
3.5 Quality Assurance

Maturity Level 2 – Directing a Project

Key Process Area	2.1 Directing a Project
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Purpose	The purpose of ‘Directing a Project’ is to ensure that the Project Board exercise overall control over the project and take responsibility for key decisions.
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Key Practices	<ul style="list-style-type: none">• The Project Board manages by exception• The Project Board fulfil their key responsibilities of:<ul style="list-style-type: none">• Providing overall direction and decision making• Committing appropriate resources to the project• The Project Board authorises the Initiation Stage based on the Project Brief , and commit resources to the approved Initiation Stage Plan• The Project Board authorises the Project based on its fit with the business strategies as defined in the Project Initiation Document, and commits resources to the Next Stage Plan• The Project Board undertakes End Stage Assessments to approve the work to date and provide authority to proceed to the next stage• The Project Board monitors progress via Highlight Reports and provides ad-hoc direction to the Project Manager• The Project Board confirms Project Closure based on the End Project Report.
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Maturity Level 2 – Initiating a Project

Key Process Area	2.2 Initiating a Project
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Purpose	The purpose of ‘Initiating a Project’ is to ensure that the project is well defined and that there is a sound basis for its management and the assessment of its overall success.
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Key Practices	<ul style="list-style-type: none">• A Project Brief is produced and approved to provide a full and firm foundation for the initiation of the project• The initiation stage is formally authorised, based on the Project Brief• A Project Initiation Document (PID) is produced in line with the PRINCE2 standard<ul style="list-style-type: none">• The project objectives and benefits are defined and understood• The project scope is defined• Project tolerance is defined• Reporting procedures, contents and frequency are defined• Stakeholders interests are identified and the means of communicating with these stakeholders is defined by the Communications Plan• Formal approval to proceed to the next stage is provided by the Project Board, based on the PID and the Next Stage Plan<ul style="list-style-type: none">• The Project Board accept accountability for the success of the project and commits the appropriate resources to the project• The PID is approved by the Project Board prior to work commencing on specialist products
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Maturity Level 2 – Controlling a Stage

Key Process Area	2.3 Controlling a Stage (incorporating Managing Product Delivery and Managing Stage Boundaries)
Purpose	The purpose of ‘Controlling a Stage’ is to ensure that the Project Manager exercises day-to-day management of the project and reviews progress at the end of each stage
Key Practices	<ul style="list-style-type: none">• All work is allocated by the use of Work Packages• Information on actual progress towards cost time and quality is collected, via Checkpoints, and is used to update Stage Plans on a regular basis• Project issues are captured in the Issues Log, examined and resolved on a regular basis• Progress is reviewed against the Stage Plan on a regular basis to ensure that it is kept within agreed tolerances• Highlight reports are produced for the Project Board at agreed intervals and are circulated to other stakeholders as defined by the Communications Plan• Corrective action is taken by the Project Manager where appropriate• Where it is forecast that a plan will deviate beyond agreed tolerances, an Exception Report is issued to the Project Board• At the end of each stage, the Project Manager prepares an End Stage Report in preparation for the End Stage Assessment to sign off completed stages and give approval to proceed.

Maturity Level 2 – Closing a Project

Key Process Area	2.4 Closing a Project
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Purpose	The purpose of ‘Closing a Project’ is to ensure that the project comes to an orderly close, unfinished business is formally documented and passed on, and that lessons are learned from the project.
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Key Practices	<ul style="list-style-type: none">• The Project Initiation Document is examined to check the actual results against the original expectations• Documented confirmation is obtained from the customer that all Acceptance Criteria have been met• An End Project Report is prepared by the Project Manager, evaluating the actual project results versus that envisaged in the Project Initiation Document• The Project Manager prepared Follow-on Action Recommendations based on outstanding Project Issues and Risks• A Lessons Learned Report is prepared based on the Lesson Learned Log maintained during the project• An end project notification is prepared to advise the host location that facilities and resources will no longer be required• Management documents are archived.
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Maturity Level 2 – Business Case

Key Process Area	2.5 Business Case
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Purpose	The purpose of 'Business Case' is to ensure that there is sufficient justification for undertaking and continuing with the project.
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Key Practices	<ul style="list-style-type: none">• A Business Case is produced which documents the justification for the undertaking of the project based on the estimated cost of the development and implementation against the risks and the anticipated business benefits and savings to be gained• The Business Case includes the minimum information as defined by PRINCE2; i.e. Reasons, Options, Benefits, Risks, Cost, Timescale, Investment Appraisal and Evaluation• Costs are based on the Project Plan• Benefits are stated in terms that can be measured in the post-project review• Investment appraisal is undertaken• The Executive of the Project Board accepts ownership of the project's Business Case
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Maturity Level 2 - Organisation

Key Process Area	2.6 Organisation
Purpose	The purpose of 'Organisation' is to establish an appropriate Project Management Team for the project, ensuring that the skills and competency necessary to perform the management activities are made available.
Key Practices	<ul style="list-style-type: none"> • All members of the Project Management Team are: <ul style="list-style-type: none"> • Aware of their roles and responsibilities • Understand the processes and procedures used to undertake these responsibilities • Are suitably qualified and experienced for their roles • A Project Board is appointed to provide overall direction and management of the project <ul style="list-style-type: none"> • It represents, at managerial level, the business, user and supplier interests • The Executive accepts ultimate accountability for the success of the project and commits financial resources • The Senior User adequately represents all user areas and commits user resources • The role of Senior Supplier is clearly defined and commits supplier resources • Project Assurance roles are agreed to ensure adherence to the agreed processes, procedures, tools and standards • A single Project Manager is appointed as the focus for day-to-day management of the project <ul style="list-style-type: none"> • Responsible for the project producing the required products, to the required standard of quality within specified constraints of time and cost • Responsible for the project delivering an outcome that is capable of achieving the defined benefits • The Team Manager role is used where appropriately • Project Support is put in place • Job Descriptions are agreed where appropriate, specifying specific responsibilities and the qualifications / experience required

Maturity Level 2 – Plans / Planning

Key Process Area 2.7 Plans / Planning

Purpose The purpose of ‘Plans / Planning’ is to establish credible plans for undertaking the required project and to underpin other project management activities, including the dissemination of planning information to stakeholders and other interested parties.

Key Practices

- A project plan is created using the PRINCE2 Planning Process and an appropriate form of Product Based Planning
- Strong emphasis is placed on identifying and specifying the products that the project is required to deliver and this provides a firm basis for defining the boundaries / scope of the project
- A Product Description is written for each significant product to ensure that it is understood, to provide a pointer to the way in which the product is to be presented and to define its quality expectations
- Where appropriate, Stage Plans, Team Plans and Exception Plans are also produced
- All plans contain, as a minimum, the following elements;
 - Products, including prerequisites and quality requirements
 - Activities needed to create and validate the quality of the products, plus the dependencies between products and any external dependencies
 - Resources, and time needed for all activities
 - Control Points, including tolerances
 - Cost and time schedules
- All plans are approved and committed to by the relevant levels of the project management team, i.e.
 - For Project Plan and Stages Plans – Project Board and Project Manager
 - For Team Plans – Project Manager and Team Manager

Maturity Level 2 – Management of Risk

Key Process Area	2.8 Management of Risk
Purpose	The purpose of ‘Management of Risk’ is to identify, analyse, minimise or control the possible adverse effects associated with risks that materialise prior to, or during, the conduct of a project.
Key Practices	<ul style="list-style-type: none"> • The Project Board and Project Manager agree the amount of risk they are prepared to tolerate, i.e. the risk tolerance • The responsibilities for the management of risk are agreed between the Project Board and Project Manager • An ‘owner’ is identified for each risk, who should be the person best situated to keep an eye on it • Risk Analysis is undertaken, as a minimum during initiation and at the end of every stage, consisting of: <ul style="list-style-type: none"> • Identifying risks • Evaluating risks, taking into account impact, probability and proximity • Identifying suitable responses, i.e. Prevention, Reduction, Transference, Acceptance or Contingency • Selecting responses • Risk Management is undertaken on an ongoing basis, consisting of: <ul style="list-style-type: none"> • Planning and resourcing selected responses • Monitoring and reporting • A Risk Log is maintained to hold information about risk, their analysis, countermeasures and status

Maturity Level 2 - Controls

Key Process Area	2.9 Controls
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Purpose	The purpose of 'Controls' is to provide adequate visibility into actual project progress so that management can take effective actions if the project's performance deviates significantly from the project plans.
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Key Practices	<ul style="list-style-type: none">• The Project Board exercise control by way of:<ul style="list-style-type: none">• Project initiation (during which the Project Plan is produced and the use of Stages and Tolerances are agreed with the Project Manager)• End stage assessments• Highlight reports• Exception reports• Exception assessments• The Project Manager exercises control by the appropriate use of PRINCE2 management products, for example:<ul style="list-style-type: none">• Stage Plans• Product Descriptions• Work Packages• Checkpoint Reports• Quality Log• Daily Log• Issue and Risk Logs
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Maturity Level 2 – Quality Management

Key Process Area	2.10 Quality Management
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Purpose	The purpose of ‘Quality Management’ is to provide management with confidence that the project processes are resulting in products of a suitable level of quality.
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Key Practices	<ul style="list-style-type: none">• Customer’s quality expectations and Acceptance Criteria are defined and agreed with the Senior User and are captured in the Project Quality Plan• A Project Quality Plan is produced which defines, in general terms, how the project will meet the customer’s quality expectations• Each Stage Plan specifies in detail the required quality activities and resources, with the detailed quality criteria shown in the Product Descriptions• The quality of products is verified against quality criteria as part of Executing Work Packages, and the results of these quality controls are recorded in the Quality Log• All necessary stakeholders are involved in quality control activities• Identified problems with quality are raised as Project Issues, captured, examined and if necessary escalated to the Project Board
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Maturity Level 2 – Configuration Management and Change Control

Key Process Area

2.11 Configuration Management and Change Control

Purpose

The purpose of ‘Configuration Management and Change Control’ is to establish and maintain the integrity of the project documentation and specialist products throughout the life of the project, and to ensure that decisions on the implementation of changes are based on a sound assessment of the implications of such changes.

Key Practices

- A Configuration Management Plan is produced which identifies how and by whom the project’s products will be controlled and protected. This should identify the person with responsibility for undertaking the role of Configuration Librarian
- All products are uniquely identified and the relationships between products established
- All products are baselined following the successful completion of quality control
 - Products are submitted to the Configuration Librarian
 - Where practical, master copies are retained and only copies issued
- Product records are kept up to date to enable accurate Status Accounting
- Configuration Audits are undertaken at the end of every stage
- All changes are dealt with as types of Project Issue and a record is maintained through the Issues Log
- The authority for approving or rejecting Project Issues is decided upon by the Project Board during the initiation stage
- Members of the Project Board are involved in making decisions on Requests for Change where they may be impacted upon

Maturity Level 3 – Organisational Focus

Key Process Area	3.1 Organisational Focus
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Purpose	The purpose of ‘Organisational Focus’ is to establish the organisational responsibility for the adoption of PRINCE2 with the aim of improving the organisation’s overall project management capability.
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Key Practices	<ul style="list-style-type: none">• There is a defined role within the organisation with the responsibility for coordinating the use of PRINCE2• This role has the appropriate level of authority to mandate the use of PRINCE2 on all projects within the organisation• Sufficient time / resource is made available to make this role effective and to provide support / mentoring to project managers and project teams• Project Managers consistently apply the PRINCE2 method to help them produce the required project deliverables• Data is collected to enable improvements to the use of the PRINCE2 to be made• The effectiveness of PRINCE2 is reviewed at least annually, with input from Project Board members• Recommendations from these reviews are incorporated into an improvement plan which is implemented and reviewed on an ongoing basis
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Maturity Level 3 – Tailoring of PRINCE2

Key Process Area	3.2 Tailoring of PRINCE2
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Purpose	The purpose of ‘Tailoring of PRINCE2’ is to align the project management method to the other business processes that govern and support the project, and to develop and maintain a set of project management process assets that can be used by all projects within the organisation to improve project performance.
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Key Practices	<ul style="list-style-type: none"> • PRINCE2 is tailored to meet the specific needs of the organisation in terms of its policies, business goals, strategies and priorities • Senior management within the organisation approve the tailoring of the PRINCE2 method • This tailoring is documented and includes the following: <ul style="list-style-type: none"> • Description of project roles • Planning standards • Guidance on the use of project management tools • A library of standard Management Product Descriptions, derived from the PRINCE2 Product Outlines in Appendix A of the PRINCE2 Manual • Senior management, where in a Project Board role, adopt PRINCE2 and ensure that the Project Manager follows the method • Lessons learned on individual projects are used to identify areas where further tailoring would improve the use of PRINCE2 • Project Boards may adapt the use of PRINCE2 to meet individual project needs, based on documented guidance.
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Maturity Level 3 – Training in PRINCE2

Key Process Area 3.3 Training in PRINCE2

Purpose The purpose of ‘Training in PRINCE2’ is to develop the skills and knowledge of all members of the Project Management Team, so they can perform their roles effectively and efficiently.

Key Practices

- Training needs are identified and documented for each of the Project Management Team roles:
 - Project Board members (including any Project Assurance roles) are trained to understand their roles and responsibilities and to perform the ‘Directing a Project’ process
 - Project Managers are trained to ‘Practitioner’ level
 - Team Managers and Project Support staff are trained to ‘Foundation’ level
- Appropriate training, in the use of PRINCE2, is provided to everyone undertaking a Project Management Team role, and this is provided in a timely fashion
- Where appropriate, skills and competence are assessed at the end of each PRINCE2 training event
- The training covers both general principles of PRINCE2 and how the method has been tailored for use within the organisation
- The overall effectiveness of the PRINCE2 training is measured on an ongoing basis
- Training is also provided to help Project Managers tailor PRINCE2 for individual projects.

Maturity Level 3 – Integrated Management

Key Process Area	3.4 Integrated Management
Purpose	The purpose of ‘Integrated Management’ is to ensure that all project activities form a coherent set based on the PRINCE2 method. It necessitates the development of a Project Initiation Document that takes into account the project’s size, schedule and staffing. The emphasis is on anticipating problems and minimising their effects.
Key Practices	<ul style="list-style-type: none">• There is an organisational policy requiring all projects to use PRINCE2• In particular:<ul style="list-style-type: none">• Every project has an Initiation Stage• During this stage a Project Initiation Document is produced that identifies the customers quality expectations and Acceptance Criteria• Tolerances are agreed by all members of the Project Management Team• Projects are broken down into subsequent stages which are planned, monitored and controlled in accordance with PRINCE2• Formal reviews are undertaken at the end of each stage• Projects are closed in an orderly fashion as prescribed by PRINCE2• Any variations from PRINCE2 are documented and approved• Adequate resources are provided to enable projects to be managed in accordance with PRINCE2

Maturity Level 3 – Quality Assurance

Key Process Area3.5 Quality Assurance

Purpose

The purpose of 'Quality Assurance' is to provide an organisational assurance that the project has suitable quality plans and measures, in line with the tailored PRINCE2 method, to ensure that the project processes are suitably controlled and are likely to result in products that meet explicit quality criteria as defined by Product Descriptions.

Key Practices

- Quality Assurance monitors the application of PRINCE2 across all projects within the organisation
 - Quality Assurance is independent of the organisation's project and operational activities
 - Quality Assurance reviews Project Quality Plans and makes recommendations to improve these and hence improve the likelihood of quality deliverables
 - Quality reviews assess whether:
 - The appropriate skills and competence are in place
 - Risks are being managed effectively
 - Feasible and economic contingency measures are in place
 - Peer Reviews are conducted to encourage shared learnings across projects
 - Peer Reviews:
 - Are led by trained review leaders
 - Focus on the project deliverables
 - Are adequately resourced.
-