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DMAC PfM3 Assessment Mission Report

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It was a pleasure to work with the Director and his staff at DMAC. The open and collaborative style that is a feature of the DMAC management environment has undoubtedly encouraged the staff to engage fully and candidly with the assessment team. We would like to express our appreciation of this approach and we hope that the outcomes of this mission will help DMAC appreciably as they take the next steps on their path to maturity .

Key Findings

- Overall maturity has increased across all indicators since the first P3M3 assessment in 2017.
- Organisational behaviours, particularly the appetite for improvement, continue to have a positive impact on the running of DMAC.
- Although these findings represent a significant achievement in this delivery environment, some issues are evident in the quality system as it has not been updated since DMAC inherited it from its predecessor nor have any internal audits been completed in the last 18 months.
- Resourcing the portfolio will continue to be a challenge and DMAC should consider alternative, project-based teams.
- The positive use of the balanced score card can be further enhanced by the development of integrated dashboards.
- The consultants acknowledge that the scope of this assessment is portfolio management specifically. Please see the section “Limitations of the Assessment” for more detail.

Approach – 3 steps

1. Pre-mission
 - Research
 - Desk review
 - Logistics
2. Mission
 - Interviews
 - Evidence gathering
 - Assurance of evidence
 - Workshops to test evidence
 - Prepare high level presentation
 - Present high-level findings and recommendation
3. Post mission
 - Prepare detailed report

Scope of Assessment

In 2017 a P3M3 Assessment was conducted at P3M3 “Programme” level which gave valid, usefully and relevant recommendations.

This assessment is using the same P3M3 standard, and has used the “Portfolio” level to guide the diagnostics, no formal programme or project processes or designated standards that are mandated for staff to use were found, nor is there a programme manager in place.

Within P3M3 it states:

“Confusion can arise when the term programme is used to describe a portfolio. If you are in any doubt use the following distinction: if it is continual it is a portfolio: if there is an end date it is a programme”.

Although there is a end date for demining (2023), DMAC is continual. It will still exist to manage residual mine clearance once Afghanistan is “mine free”.

The scope for this assessment is therefore the “Portfolio Management Maturity Model”.

In addition, this assessment also applies the Thread components of the P3M3 assessment.

Thread Components

P3M3 model is an extensible model with several layers of increasingly detailed assessment criteria.

Maturity Levels

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

Perspectives

All seven perspectives have indicators in each level:

1. Organisational Governance
2. Management Control
3. Benefits Management
4. Risk Management
5. Stakeholder Management
6. Financial Management
7. Resource Management

Sub-models

1. Portfolio Management
2. Programme Management
3. Project Management

Threads

Up to 13 Threads can be applied to the any assessment

1. Behaviours
2. Commercial Buy
3. Sell
4. Techniques
5. Infrastructure & Tools
6. Process
7. Information & Knowledge Management
8. Model Integration
9. Standards
10. Planning
11. Assurance
12. Organisation
13. Asset Management

The decimal score is based on the percentage of statements being rated as ‘fully’ or ‘partially’.

To score an assessment, the assessors test observed practices and review documents.

Formative V Summative Assessment

Formative Assessments are typically carried out *during* periods of learning and development and they indicate progression towards developmental targets. Summative assessments take place at the *conclusion* of a learning period and confirm that objectives have been reached. For DMAC, the period since the transition out of the UNMAS organisation has been continuously formative, but characterised both by deliberate, positive progress, and by challenges around the availability of resource, especially churn in the management team. In 2019, a true picture of their capability maturity in Portfolio Management should encompass both the successes and the challenges. To render this picture accurately we have adopted both a formative and a summative approach to assessing capability. We hope that this can be clearly seen in the use of “Emergent” to ‘score’ an indicator where plans have been presented which

cannot be comprehensively integrated because of the unique circumstances of their delivery environment. The levels of self-determination and independence to which the Directorate aspires are supported by clear management intentions and emergent practices. The constraints that they face are material, with limited funding to implement non-core activities and resource challenges which are both extreme and particular to the Afghan delivery environment

In recognition of these constraints, this formative style of assessment has been applied to a number of the Threads at Level 3 across all seven perspectives, but particularly Asset Management, & Organisation (especially where it references centralised and consistent training and development activities). It also emerges at Level 2 under the perspectives Financial Management & Risk Management.

We confidently expect the DMAC leadership to have given significant focus to mainstreaming any processes identified as “Emergent” in this assessment by the time that the follow on assessment takes place.

A summary of the Emergent indicators and proposed actions follows in the main body of the report.

Limitations of the Report

Portfolio, Programme, Project Management Maturity (P3M3) was chosen by DMAC/UNMAS as the tool to help DMAC understand how its approach to Project/Programme/Portfolio Management compares against the model (P3M3) and obtain feedback and/or eventual certification. The tool is not designed to assess an organisation itself, but to assess the organisation's ability to formally run its projects and/or programmes and/or its portfolio.

Within DMAC internal changes/initiatives are run as informal projects and the external projects are managed by the implementing partners using their own processes. MAPA's activities are coordinated and monitored by DMAC and DMAC represents MAPA in the mine action related meetings, conferences and symposiums at national and international levels (amongst other activities), however DMAC does not appoint a Programme Manager who is accountable for the delivery of MAPA as a formal programme, nor does it have any formal processes/framework

in use to manage programmes. It does however have robust processes in place at the P3M3 Portfolio level. As an organisation, DMAC runs its external portfolio with long established processes that work well, the management team and staff have good routines to manage the day to day running of DMAC, this report is not assessing DMAC as an organisation, it is assessing DMAC's ability to deliver its overall Portfolio within P3M3.

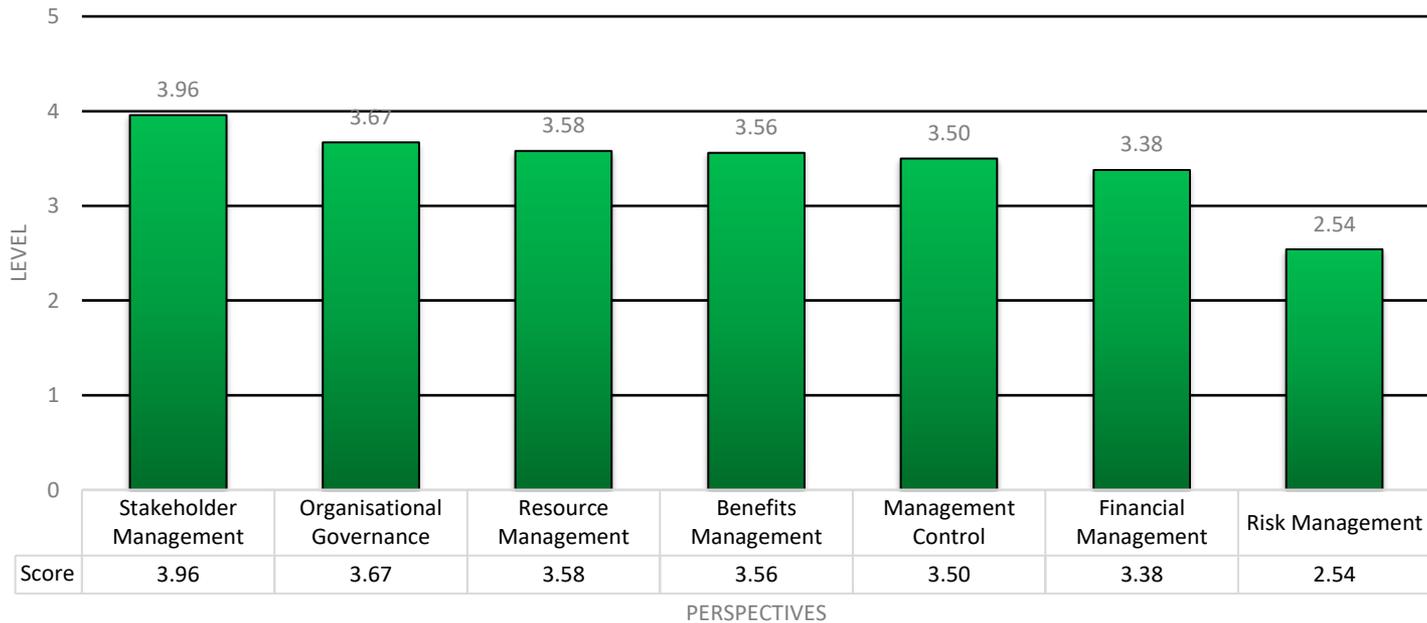
It is acknowledged that DMAC as an organisation has started to formally do stakeholder mapping and assessment and already has a well-established routine of stakeholder engagement established prior to the formalities now being put in place, for example Community Liaison and negotiating access to the areas to be surveyed/demined.

Limitations of the Report...continues

It is also acknowledged that although the Administration Department are currently updating all DMA's policy's, it has a good record of senior management support and organisational learning. It has a good mixture in its leadership team of experienced staff with long service in DMAC as well as newer management also with experience in their field. This mixture of experience will continue to have a positive impact on its team whilst allowing the individuals to make a difference.

It is also acknowledged that DMAC operates in an exceptionally complex environment. The ongoing conflict, which directly impacts the progress of demining activities and the cultural and organisational barriers that they encounter will clearly have an impact on planning, prioritization, implementation, decision making, and overall success of its portfolio.

PfM3 Assessment

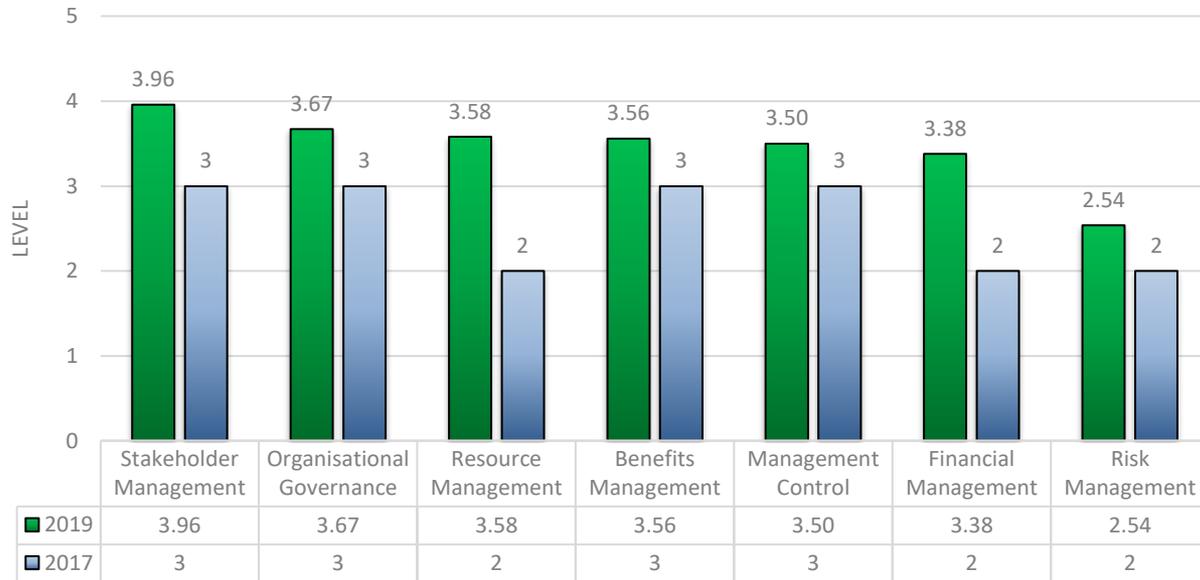


Overall Assessment

The 'decimal' score for the overall assessment is 3.4
 Risk Management is the only perspective operating below Level 3

PfM3 Assessment

■ 2019 ■ 2017



Progress from 2017

Capability has improved across all perspectives. Resource and Financial have improved from Level 2 (Repeatable) to Level 3 (Defined).

Since the assessment in 2017 DMAC has consolidated and significantly increased its capability in Resource management and Financial management and both of these perspectives are assessed at Level 3 in 2019 (level 2 in 2017).

All other perspectives have consolidated and, in some cases level four capability is emerging.

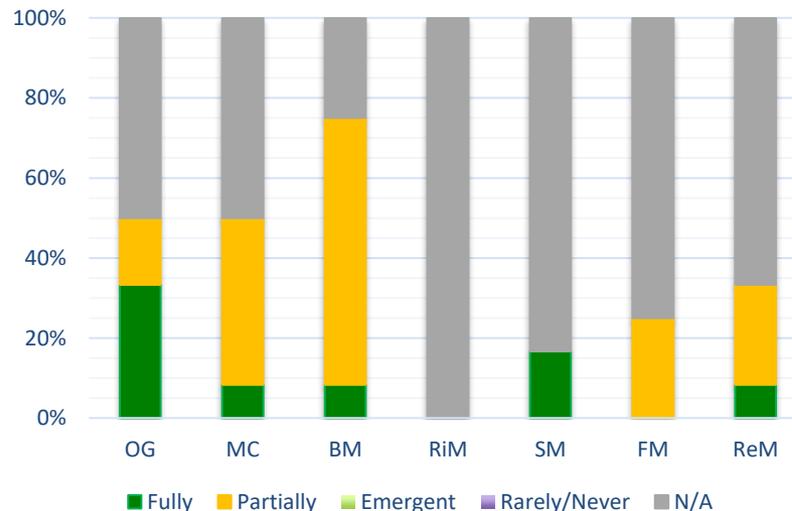
Numerous thread level indicators for Organisational Governance, Management Control and Benefits management are either partially or fully in place as is shown by the balanced scorecard chart for level four indicators.

Partially and Fully present indicators can be certified as level 4.

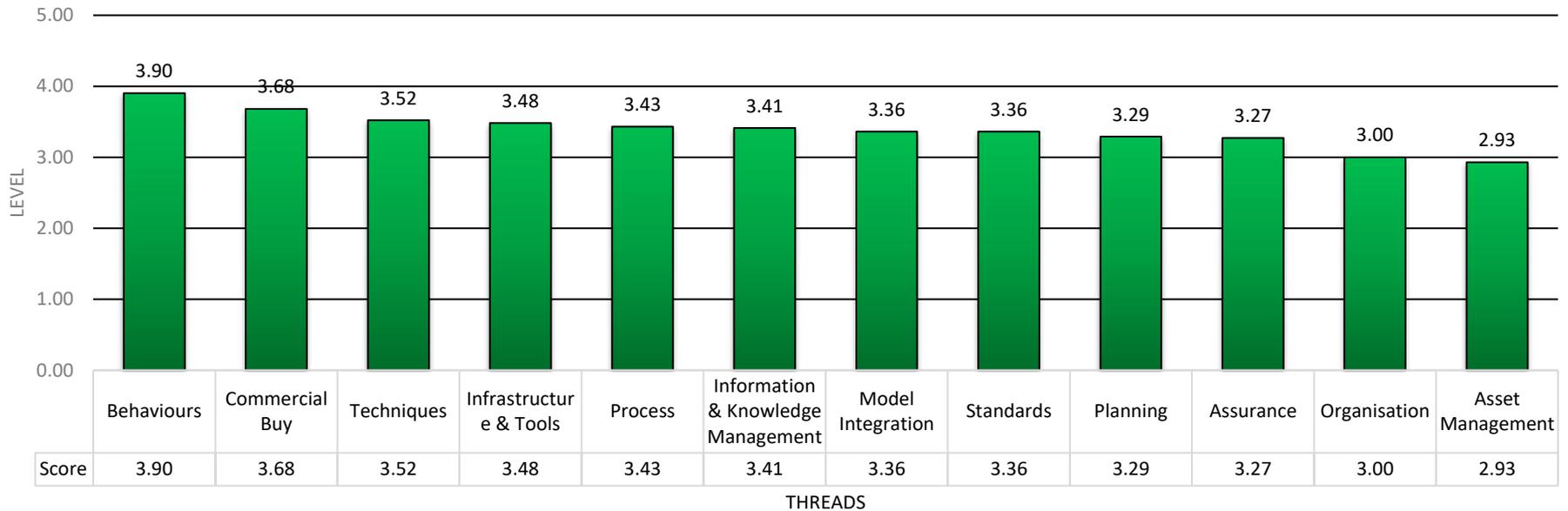
In 2019 we can see a quantifiable and demonstrable improvement on the capability as assessed in 2017 where the level 4 indicators were not reported at all and this represents valuable progress.

Further detail relating to this balanced scorecard can be found in the Assessment Scoring report.

Level 4 BSC



PfM3 Assessment: Threads



Thread Assessment

The Behaviours Thread is consistently strong. Managers are working deliberately to continuously improve portfolio outcomes. The only score below Level 3 is Asset Management. DMAC no longer manages De-mining assets so the scope of asset management is limited to facility management.

Maturity Levels Heatmap & BSC



Rank	Level	OG	MC	BM	RiM	SM	FM	ReM	OG	MC	BM	RiM	SM	FM	ReM	OG	MC	BM	RiM	SM	FM	ReM	OG	MC	BM	RiM	SM	FM	ReM	OG	MC	BM	RiM	SM	FM	ReM	
		1	1	1	1	1	1	1	2	2	2	2	2	2	2	3	3	3	3	3	3	3	3	4	4	4	4	4	4	4	5	5	5	5	5	5	5
1	Behaviours	Green																																			
2	Commercial Buy	Green																																			
3	Techniques	Green																																			
4	Infrastructure & Tools	Green																																			
5	Process	Green																																			
6	Information & Knowledge Management	Green																																			
7	Model Integration	Green																																			
8	Standards	Green																																			
9	Planning	Green																																			
10	Assurance	Green																																			
11	Organisation	Green																																			
12	Asset Management	Green																																			

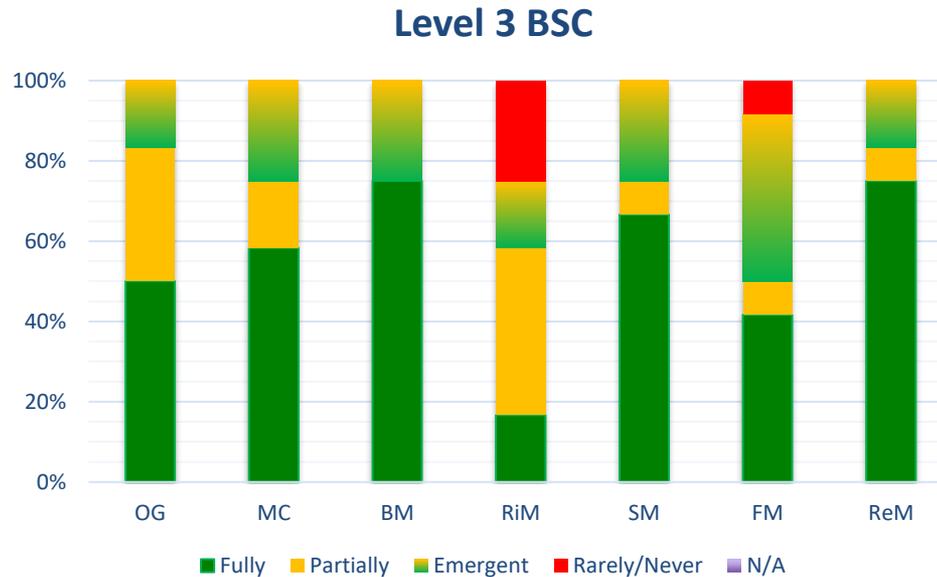
	Key
Green	Fully
Yellow	Partially
Light Green	Emergent
Red	Rarely/Never
Grey	N/A

Heatmap

The heatmap shows where the Portfolio is fully compliant with the certification indicators in the maturity model, where partially compliant, where the compliance is emergent, where compliance rarely / never achieved, and which indicators were not applicable for this assessment.

At Level 3, Risk Management and Financial Management have a small number of “rarely/never” indicators. As DMAC is dependent on Donor funding it does not run an end to end Financial Management process and is it is required to comply with x3 external partner’s financial management regulations. The key indicator at Level 3 is a centralised, integrated, end-to-end process. As DMAC establishes its independence in Financial management there should be a positive impact on this indicator.

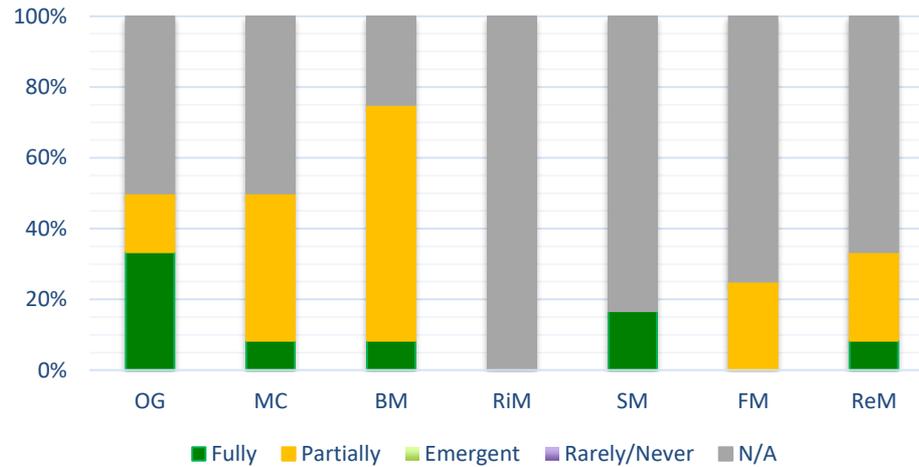
Risk at Level 3 also has a number of gaps, which highlights the requirement to consider risk management holistically, for both internal change projects and the delivery risks (as distinct from security risks) that could impact the de-mining projects.



Level 3 – Balanced Scorecard

The Directorate reports a regular balanced score-card (BSC) covering each pillar in their strategic plan and this summarised Management Information provides an accessible performance indicator to both DMAC officers and Implementing partners. In that spirit we have produced a BSC for the maturity of their Portfolio Management at Level 3. To secure a level of capability using the P3M3 assessment model. There is a requirement to have at least 85% of all in-scope indicators either “fully” or “partially” present. For the purposes of this assessment we have also included the “Emergent” indicators within this 85%. As can be seen from the BSC above only Risk Management falls below this threshold.

Level 4 BSC



Level 4 – Balanced Scorecard

The BSC for Level 4 is particularly positive as it shows that DMAC is making significant progress in establishing the indicators of Level 4 capability which reflects the work that they are doing to manage improvements and efficiencies in the Portfolio.

Findings & Recommendations



Findings

Whilst DMAC has improved from the 2017 P3M3 mission and it has a well thought out process for its “demining” programme, including prioritisation, it does not have similar rigour in its internal “change” programme. Instead it relies on the inherited UN system of annual work plans. Whilst this is a very useful approach for logging the activities that will be completed towards the 5 year strategy, what is missing is the inclusion of all of the initiatives that are being undertaken by DMAC departments. With limited resource, DMAC should have an integrated approach to its internal change programme.

Recommendations

- As a minimum each initiative should have a justification (cost vs. benefit), a plan that has start/end dates, key milestones and deliverables, including an assessment of risk.
- If approved, a change request needs to be considered to add it to the current years “annual plan” to confirm that there is sufficient resource (Human and \$). If resource is not available, agree when can it be started or what needs to stop for the new initiative to commence.
- Develop a new “dashboard” to monitor and report internal change
- Recruit a new planning resource for the internal change programme

<i>Initial Action</i>	<i>Further Action</i>	<i>Risk of no Action</i>
<p>1) Create a list of all internal initiatives, minimum headings on the list should include:</p> <ul style="list-style-type: none"> a) Priority (1,2,3,4,5 etc.) b) Brief description of the main output, outcome and benefit c) Dates for the delivery of the main output, outcome and the realisation of the benefit d) Cost (\$ & Time) e) Status (Pending approval, Underway, Closed, or not approved) f) When “underway” indicator “Green” on track to deliver, “Amber” issues that need resolving, “Red” can no longer deliver the expected benefit without agreeing a new plan. 	<p>Management should not authorise an initiative to move from “Pending Approval” to “Underway” without a justification that is agreed by the management team.</p> <p>Justification to include as a minimum:-(cost vs. benefit), a plan that has start/end dates, key milestones and deliverables that clearly demonstrate how the benefit will be realised, including an assessment of risk.</p> <p>All current initiatives underway should be “paused” until this is completed, this may need to include outstanding action from the Annual Work Plan.</p>	<p>Just as DMAC understands what the priority is of its demining programme, it needs to demonstrate that any internal initiative is being worked on at the right time, with the correct resource.</p> <p>Allowing departments to determine their own priorities in isolation to wider DMAC needs could result in resources working on lower priority initiatives. This is material as even with a full complement of staff it is unlikely that it will have enough resource to complete all internal initiatives, including the interdependencies between all departments.</p>



Findings

DMAC's structure is not based on project or programme management principles, it is based on a traditional departmental hierarchy, this can, over time, create a silo style of working. Although this has many benefits in developing experts or specialists, when staff leave it can put enormous strain on those that remain in post to take on the additional tasks, if there are too many vacancies it can lead to some tasks/activities being dropped.

This mission's recommendations may be at risk of delay or not being implemented at all, due to lack of resource.

Recommendations

- DMAC needs to fill the outstanding posts to ensure that its current systems and processes can continue to deliver its demining programme.
- This mission has identified that DMAC has a change programme, it is a combination of its current approach to deliver its strategy and the integration all departmental initiatives.
- A PMO consisting of 3 new resource (Planning, Quality and MIS) would ensure that the recommendations are delivered and provide the focal point for the internal change programme.

<i>Initial Action</i>	<i>Further Action</i>	<i>Risk of no Action</i>
<p>Appoint an existing manager to also have the roll of “Head of Portfolio Management Office” (PMO), with the accountability for the internal change programme, (Slide 15 & 16) which should also include any outputs/outcomes agreed from this report as initiatives, going through the same prioritisation process.</p> <p>Recruit three new headcount for the PMO, Planning, Quality, MIS. Foundation Training for this team should include: Management of Portfolio (MoP) for Head of PMO and Portfolio, Programme Project Management Office (P3O) for all 4 staff.</p>	<p>As a capability it will need to develop its own processes to add to DMAC’s Quality Management System (QMS). DMAC's Internal Quality should be transferred from the Quality Department to the PMO so that the PMO focuses on internal quality assurance leaving the Quality Department to focus on the Quality of the Demining Programme. DMAC’s AWP should be integrated with all new change initiatives and the planning for this should reside in the PMO, leaving the planning department to focus on the Demining Programme. The MIS resource embedded in the PMO should develop the Internal Change dashboard.</p>	<p>Without focused resource on the internal change, including the implementation of any recommendations from any reports, including this one, risk being de-focused from the organisation. At the time of the investigation, there were no internal quality reviews due to the lack of resource, the longer this continues to be the case, there is an increase likelihood of a non-conformity that may affect the Demining Programme. From the 2017 P3M3 review, it took over a year to implement some of the recommendations, this could be repeated.</p>

Findings

DMAC has implemented the suggestion proposed by the 2017 assessors to create a Risk Management Strategy and to start identifying risks in the risk register. This is a fundamental step in establishing integrated risk management capability and the time invested in this will deliver efficiencies in delivery once the approach is mainstreamed.

The finding of the assessment is that risks have been registered once in the period since the assessment, and the current use of the risk register is not being used as stated in the DMAC Risk Management Strategy which indicates that the senior management need to be more familiar with the DMAC approach to risk.

Although there is an Issue Register, it has not yet been used, it was observed that some of the entries in the risk register likely to be better classified as an issue. Changes to Internal initiatives are not tracked.

Recommendations

- Integrate risk management into a portfolio dashboard.
- Link ‘live’ risk data to actions in the dashboard for
 1. Demining Portfolios
 2. Annual / Change Plan Actions
 3. Recommendations and Changes to the Workplan.

Department Heads will continue to be responsible for department risks – Senior Managers will share responsibility for managing Portfolio risks.

Responsibilities will include

- Review portfolio-level risks in the Director’s management meetings
- Recognise the impact of risk in plans
- Departments to update their SWP and Processes with appropriate risk management actions
- Develop the Issue management system to also record actions, decisions, recommendations and lessons learnt into the dashboard.

<i>Initial Action</i>	<i>Further Action</i>	<i>Risk of no Action</i>
<p>Every Department to look at their existing high level process diagram and modify it to show when risk should be identified, monitored, reviewed and updated. Once identified, add the detailed instruction to the appropriate SWP.</p> <p>In the short term, update the current single risk register, ensuring that the description has within it “Cause, Event, Effect” and that the DMAC risk strategy is followed.</p> <p>Risk management needs to be “Mainstreamed” into everything that DMAC is doing, Portfolio, Programme, Project, initiatives, as well as security.</p>	<p>Instead of using a shared Excel Spreadsheet, the MIS team should create an appropriate version of a risk register in the database</p> <p>Build Risk into the proposed “Dashboard”</p> <p>Develop a single place (database) to record all actions, decisions, recommendations from reports, quality issues, consider also any complaints. This will give management a single point of reference for all “issues” that need to be addressed.</p> <p>Note – when a “Risk” happens – it becomes an issue.</p>	<p>This is an area that was identified in 2017, although a risk strategy and register were put in place, it was not “mainstreamed” into DMAC. It is acknowledged when discussing “risk” within the environment DMAC works in, the main focus of risk is security. To ensure that delivery is as efficient and effective as possible, portfolio, programme and project management risk needs to be considered and managed. With the current resource constraints it will be key to ensure that all plans (internal change and demining) have considered what might go wrong, the potential impact, how to mitigate and if this fails what options are in place?</p>

Findings

The current head of quality is in an acting role whilst also performing the role of Head of Operations.

There are also vacancies within the Quality Department. The focus of the department is on the external quality to ensure that the demining is not adversely affected.

The area that is not currently being focused on is the management of DMAC's internal process, critically the internal audit process is not being completed, this is a key process to ensure that continual improvement is embedded, which could be DMAC's gateway to achieving P3M3 level 4 .

Recommendations

- To recruit the staff needed to carry out its responsibilities within its current ToR
- To recruit a dedicated resource to focus on the Quality Management System including management and maintenance of the internal DMAC documents and SWP's and process. This resource would also conduct internal reviews. This resource should be part of the proposed PMO.
- The quality department has to ensure risk is embedded in its process and that its own process and SWP's are updated and aligned.

<i>Initial Action</i>	<i>Further Action</i>	<i>Risk of no Action</i>
<p>Recruit the staff needed for both the quality department to carry out its function within the Demining programme, but also within the proposed PMO to drive the internal quality management system.</p> <p>PMO resource - Develop an internal “audit schedule” to review all current processes within DMAC by the end of Q1 2020. From this create a plan that ensures there is an end to end process diagram with supporting SWP’s that has all processes updated by the end of Q2 2020.</p>	<p>Currently the IP’s do post-project reviews to assess the impact of the project, these reports are often only sent to the Donor. The Quality Department also complete impact assessments with a sample of the projects completed. The current practice could be enhanced:</p> <ol style="list-style-type: none"> 1) Immediately – obtain copies of all impact assessments – enter the key data on the existing system 2) Consider either DMAC doing all impact assessments (may have an impact on staffing) and/or 3) The IP that does the survey also does the impact assessment 4) IP’s either do survey or demine, not both. 	<p>Internal Quality – since the transfer from UNMAS staff/process to DMAC, the ISO 9001 accreditation has lapsed, although there is no need to hold the certificate to have a quality system, it is key for DMAC to have a robust QMS. With no internal audits taking place and current SWPs are not always aligned to the process diagrams. There is risk that any new staff will not have access to appropriate up to date instructions.</p> <p>Demining quality – the current practice of an IP completing the survey, demining followed by an impact assessment of their own work may be a conflict of interest.</p>

Findings

DMAC tracks its Annual plan (and therefore the execution of its strategic plan) through a series of Excel sheets that are updated by Department Heads and consolidated by the Planning & Programme department.

This approach is mainstreamed across the Directorate and the findings of this assessment are that it is consistently deployed to track annual initiatives. Change initiatives, recommendations and lessons are not consistently tracked through this system.

The nature of Excel constrains the amount of live data that can be reviewed and creates additional work for the planning department in maintaining it.

Recommendations

Head of MIS to select an appropriate approach and develop a simple database solution: (MIS are currently evaluating Monday.com). The objective will be for each department to maintain 'live' data on their initiatives.

Integrate the recommendations made by this report under "Planning" to capture key management information on these initiatives (start date, risk, priority etc).

Integrate and enhance DMACS Balanced Scorecard system for tracking IPs and the Directorate's performance.

Develop a Dashboard that will present the following views:

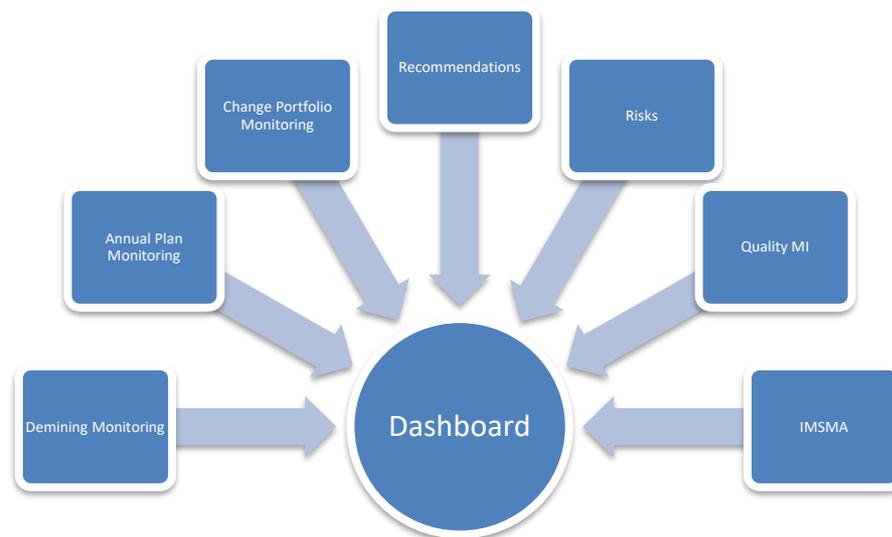
- Priorities (Department, Portfolio, Programme)
- Progress to objectives (Department, Portfolio Programme,)
- IMSMA Data for the Demining Programme

<i>Initial Action</i>	<i>Further Action</i>	<i>Risk of no Action</i>
<p>Head of MIS to create a concept note for the Dashboard project. This project could report direct to the Leadership team as it impacts all business units.</p> <p>We recommend selecting an App that can be adapted to the core requirements and used to demonstrate the application of the Dashboard using data from one departments projects. Our recommendation is that this would be the MIS department which has a number of ‘internal’ projects in flight and in the pipeline.</p>	<p>Once the concept is proven using the app the Management Team should review recommendations for either:</p> <p>Continuing with the prototype by uploading data for all internal change projects.</p> <p>Or</p> <p>Developing an application using existing licences (e.g. Microsoft SharePoint / Microsoft Teams using for e.g. Trello)</p> <p>Once the decision is taken, the work should be planned to integrate data for all internal projects into the dashboard.</p> <p>.</p>	<p>If the Dashboard solution is not implemented, DMAC will continue to face challenges with visualising progress to wards their strategic delivery. There will be no single resource for reviewing all management actions and any risks associated with their delivery. It will continue to be difficult to balance resource requirements and dependencies across all departments, especially on projects where the requirements of the project impact more than one department.</p>

Initial discussions for the Dashboard centred around the visual presentation of management information that is integrated with 'live sources'. It is a key requirement to integrate 'live' data from quarterly plans – rather than relying on updates to Excel spreadsheets for e.g. that create an extra administrative requirement to upload and maintain – better to present a “live” picture in a single repository. Ideally, the Dashboard should also link to the IMSAA data to provide live information on the demining programme.

By integrating a risk register into the dashboard, risks, issues and changes can be linked directly to internal actions and projects. By storing them in a database it will be possible to query and report on that data providing management information that reports portfolio—wide . Example features:

- Report on the overall exposure to risk
- Report on progress against Monthly / Annual targets
- Generate 'live' balanced score card data
- Interrogate data 'live', for e.g. in the Director's management meeting.



High Level Requirements

Online (Live Data)

Integrated with IMSMA

Easy to use

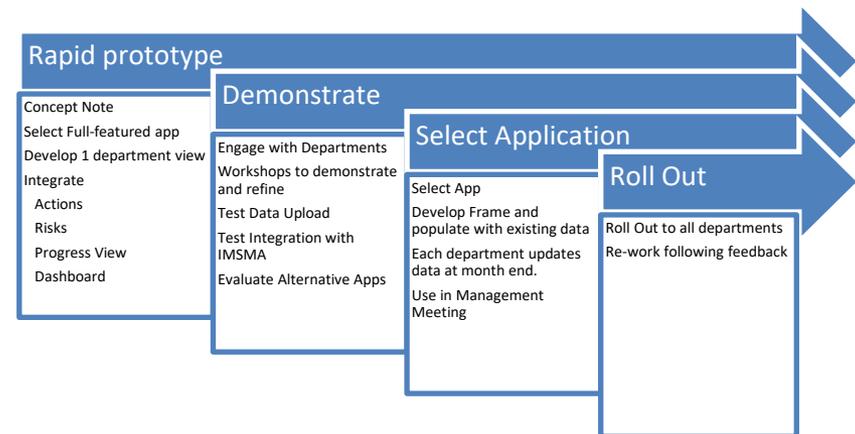
Rolling out the Dashboard as a priority will positively affect the mainstreaming of many level four **Management Control** indicators that are currently classified as “partial”.

Integrating risk reporting will also directly address the Risk Management indicators that are currently impacting the Level 3 findings.

We strongly recommend a progressive approach that moves quickly to provide a robust illustration of what can be achieved using live data from just one business unit.

We feel confident that the work to integrate the other business units will then move forward more rapidly as all senior stakeholders will see the benefit of the approach.

Similarly, we strongly recommend that risk management and progress visualisation are the first functions that are integrated into the Dashboard.



Findings: Departments



Findings

It was a pleasure to review the planning departments approach to its ToR. The department is well run, despite being under resourced with staff leaving to other areas of DMAC.

Areas to improve :-

- The Standard Working Procedures (SWP) observed did not relate directly to the corresponding process diagrams.
- Risk is not formally reviewed or integrated
- There was limited forecasting for the original 10 year plan, the lack of a realistic plan to now achieve it or forecasting may impact on donor confidence/planning.

Recommendations

- To ensure any vacancies are resourced
- Process Diagram & SWPs – these need to be updated i.e. when to assess Risk and aligned so that the SWP matches the process diagram.
- Keep the original 10 year plan as the baseline, but also develop forecasts on Best Case (re-survey, enhanced de mining techniques etc may include more staff), Worst case (conflict continues, less donor funds, staff having to be reduced) and finally most likely case, with 45m donor funds etc.
- Liaise with ITF and UNMAS to ensure that they understand the different scenarios for funding of staff

Findings

DMAC's MIS Department manages the integration of the MAPA programme data into the IMSMA database. In parallel the department provides strong data analysis to support DMAC's Management team and other Stakeholders. The capability of the MIS teams will be critical to achieving the improvement recommendations made in this report.

- In addition to their BAU activities, MIS manages initiatives that will
 - increase the quality and resilience of the IMSMA data, including data discrepancy management
 - Development of Mobile Working applications and
 - Contributing to Initiatives like the INDURE system that will positively impact the demining programme.

Recommendations

- Continue the department's proactive work in finding new ways to engineer technological advances into the DMAC's achievements.
- Refine and integrate vital management information by developing a 'live' data dashboard.
 - Build on the initial dashboard prototype work started by the Head of MIS.
 - Draft a Concept note for the Dashboard and manage it through the change programme.
 - Develop a functional prototype to qualify requirements for the Dashboard
 - Check that integration with IMSMA is supported.
 - Review with Department Heads and Director to qualify and extend these requirements
 - Select an app and develop a the full dashboard.

Findings

The Scope of the Operations Department includes coordination of Regional Officers and monitoring of the demining programme's implementation partners. Despite resource challenges it continues to maintain high standards of support to the Demining programme.

Operations is also responsible for the elements of performance monitoring that DMAC conducts – through conducting periodic Post-Demining Impact Assessments (PDIA). It was the finding of this assessment that the process for completing PDIA's, whilst formally structured, could be further enhanced if all PDIA's (including all of those that are completed by Implementing partners) were collected by Operations. These assessments could then be independently verified through desk review and a sample could be further verified during site visits by Operations staff in the Regions.

Recommendations

- Operations to review all PDIA's from IPs
- Verify all Impact Assessments through desk-review
- Verify a sample through site visit
- During those site visits, revisit sites that have historic impact assessments and update the findings to develop a richer picture of the impact of demining over time.
- Consider using site visits to capture asset data from field assets, increasing the resilience and quality of field asset data.
- Update existing SWPs and processes to reflect the integrated risk management approach recommended by this report.
- Consider DMAC taking responsibility for *all* impact assessments.

Findings

The current head of quality is in an acting role whilst also performing the role of Head of Operations.

There are also vacancies within the quality department. The focus of the department is on the external quality to ensure that the demining is not adversely affected.

The area that is not currently being focused on is the management of DMAC's internal process, critically the internal audit process is not being completed, this is a key process to ensure that continual process improvement is embedded, which could be DMAC's gateway to achieving P3M3 level 4 .

Recommendations

- To recruit the staff needed to carry out its responsibilities within its current ToR
- To recruit a dedicated resource to focus on the Quality Management System including management and maintenance of the internal DMAC documents and SWP's and process. This resource would also conduct internal reviews. This resource should be part of the proposed PMO.
- The quality department has to ensure risk is embedded in its process and that its own process and SWP's are updated and aligned.

Findings

Mine Risk Education, Gender & Diversity and Victim Assistance

These DMAC departments are working to deliver their annual objectives through the execution the DMAC annual plan and through their various responsibilities documented in Terms of reference.

In addition the MRE department is introducing a number of initiatives that will further enhance the delivery of the MRE objectives including the localisation of an MRE Smartphone app.

Although only recently appointed to post, the Head of Gender & Diversity has rejected at least one proposal from an IP because its failure to consider Gender diversity issues.

The Victim Assistance Department will be transitioning a proportion of its work to the new Ministry for Martyrs and Disabled Affairs (MMD). In the interim, it continues to pursue a range of initiatives, producing Concept notes to describe each one.

Recommendations

We propose shared recommendations for all these departments

- Update procedures and SWPs to reflect the recommended focus on integrated risk management.
- Support the development of a DMAC dashboard by entering all “*change*” initiatives into the system.

Findings

Only one Regional Manager was interviewed. Previously from the Planning Department, this officer was clear on his focus: improving the delivery of the demining programme.

Like the admin department, he is attempting to update and improve the Regional delivery process.

The challenge is how quickly this can be completed and tested before it can be rolled out to the other 6 regions.

Recommendations

- To ensure that all new processes and SWP's are integrated into DMAC's QMS and they include assessing risk.
- To develop a plan (like the IP's have to develop) to show what has to be completed by when and how the transition to the other Regions will take place.

Findings

The Head of the Admin department and his team were enthusiastic, confident and are currently reviewing and updating most of their process and policies. Although some of these are not yet operational, the intent is clear that they will have these systems running within the next few months.

They will be taking on financial management as DMAC is now receiving direct funds into its own bank account

Recommendations

- To recruit a Finance Officer
- To liaise with the quality department to ensure that there is consistency on how the DMAC Quality Management System is used. i.e. process diagram followed by SWP's
- To work with ITF and UNMAS to have a single "cashflow" forecast that drives DMACs resourcing and procurement.
- Agree with ITF & UNMAS the various rules (including Government rules) so that when you submit the request to any of the partners/donors there is never a rejection.
- Change reporting so that DMAC is managing the their cashflow.
- Continually meet with ITF & UNMAS to encourage them to transfer funds into the DMAC bank account.

Findings

The Head of the External relations department has implemented the recommendations of the 2017 assessment, developing a stakeholder management strategy and undertaking an initial stakeholder analysis of MAPA stakeholders.

There are a number of External relations actions that are controlled through the quarterly and annual plans, but there are also project activities that should be surfaced in the internal change portfolio, for example, This department has the capacity to offer professional guidance to the Portfolio in its engagement with key influencers outside direct advocacy, through communications planning and providing support to officers looking to, for example, influence stakeholders may be able to support DMAC in their aspiration to establish Financial Independence.

Recommendations

- Review the effectiveness of the initial Stakeholder Analysis
- Set a regular action to review and update stakeholders profiles as these are not static and can be influenced by political and environmental changes.
- Use the portfolio dashboard to show where resources from External Relations are required to support other, cross-cutting projects.
- Use the portfolio dashboard to capture Stakeholder Risks to the portfolio and ensure that they remain under regular review.

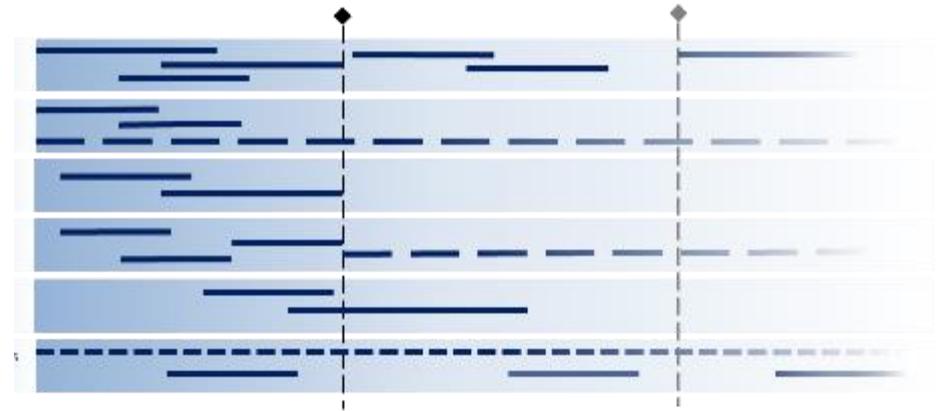
Next Steps



- December 19 - Retreat
- March 20? Next Mission
- Options for mission
 - Build Capacity in PMO?
 - Further Support – e.g. Planning for Other Stakeholders?
 - Certification / Accreditation?
 - ...?

Appoint an officer to be accountable for the Change Programme, this person would:

- be accountable for coordinating the annual plan, department initiatives and the implementation of any of the recommendations that DMAC choose to adopt.
- manage the 3 person PMO being recommended.



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FS508216

Assessment Scoring Report



Organisational Governance: Threads (1)



Perspective		OG				
Level	1	2	3	4	5	
Asset Management	<p>Fully</p> <p>The need for an organizational level asset management policy and strategy is recognized by portfolio leadership.</p>	<p>Emergent</p> <p>There are asset management strategies for key assets (or groups of assets), developed to locally defined standards, developed in consultation with operators/maintainers.</p>	<p>Emergent</p> <p>There is centrally defined policy, strategy and investment decision criteria for asset management that is consistently deployed across portfolios, developed in consultation with operators/maintainers.</p>	<p>N/A</p> <p>Portfolio management and asset performance is reviewed and processes refined to ensure efficient delivery of asset management policy and strategy.</p>	<p>N/A</p> <p>Portfolio management and asset performance trends are reviewed and processes refined to optimize delivery of asset management policy and strategy.</p>	
Assurance	<p>Fully</p> <p>There are isolated examples of portfolios that independently undertake assurance reviews of their initiatives.</p>	<p>Fully</p> <p>Portfolios use local approaches to assurance of portfolio governance with recommended actions being reported to portfolio boards.</p>	<p>Fully</p> <p>Portfolios use centrally defined approaches to assurance of portfolio governance, which includes assuring alignment to strategic objectives, with recommended actions being reported to portfolio boards.</p>	<p>Partially</p> <p>The organization analyses the results of assurance reviews for opportunities to improve organizational governance.</p>	<p>N/A</p> <p>Portfolio governance related reviews assure the leaders of the organization that organizational control of the initiatives in the portfolio will be successful, efficient and adequate to achieve the overall organizational objectives.</p>	

Organisational Governance: Threads (2)



Behaviours	Fully There are examples of portfolio teams exhibiting positive attitudes to achieving goals through portfolio management.	Fully Portfolio leaders encourage commitment, innovation, ethics, rewards and compliance relating to achieving portfolio goals through portfolio management.	Fully Portfolio leaders encourage commitment, innovation, ethics, rewards and compliance relating to achieving organizational goals through portfolio management.	Fully Organizational leadership shows commitment to achieving effective portfolio governance through collaborative working and taking a quantitative approach to improvement.	N/A Effective portfolio management is embedded in the organization's culture, evidenced through cultural audits.
Commercial Buy	Fully Portfolio leaders recognize the need for portfolio-level commercial strategy and responsibilities.	Fully Portfolios have a commercial strategy that underpins portfolio goals based on a locally defined approach that includes rationale for supplier selection, protection of intellectual property and coordination across initiatives.	Partially Portfolios have a commercial strategy that underpins portfolio goals based on a centrally defined approach that includes rationale for supplier selection, protection of intellectual property and coordination across initiatives.	N/A The decisions to improve or change the organization's commercial strategies are informed by past performance of portfolio delivery.	N/A Macroeconomic data impacting on future market trends informs the production of commercial and procurement strategies.

Organisational Governance: Threads (3)



<p>Information & Knowledge Management</p>	<p>Fully</p>	<p>There are examples of portfolios using a structured approach to information and knowledge relating to portfolio governance.</p>	<p>Fully</p>	<p>Portfolios use locally defined approaches to manage information and knowledge relating to portfolio strategy, portfolio performance and the status of their initiatives.</p>	<p>Fully</p>	<p>Portfolios use centrally defined approaches to manage information and knowledge relating to portfolio strategy, portfolio performance and the status of their initiatives.</p>	<p>Fully</p>	<p>Information and knowledge, including lessons/benchmarking, are used to improve the organization's approach to portfolio governance and evidence of improvement can be demonstrated.</p>	<p>Partially</p>	<p>Information and knowledge, including lessons/benchmarking, are analysed for trends to enable the organization's portfolio governance performance to be optimized.</p>
<p>Infrastructure & Tools</p>	<p>Fully</p>	<p>Initiatives use their own tools for governance.</p>	<p>Fully</p>	<p>Portfolios use local tools to evaluate and track initiative within their portfolio to support governance.</p>	<p>Fully</p>	<p>Portfolios use central tools to evaluate and track initiative within their portfolio to support governance.</p>	<p>Fully</p>	<p>The portfolio governance tools are regularly refined by a central group based on assessments of effectiveness.</p>	<p>N/A</p>	<p>Analytical tools are used to assess governance metrics for trends enabling proactive improvement.</p>

Organisational Governance: Threads (4)



Model Integration	Fully	There are examples of portfolio boards imposing governance arrangements on their initiatives.	Fully	Initiatives follow approvals and reporting processes defined by their portfolio.	Partially	Portfolios ensures that all initiatives follow the centrally defined gated approvals and reporting processes.	Partially	Quantitative data from initiatives enables regular adjustments at gates to keep the initiatives aligned to portfolio objectives.	N/A	The integration of portfolio management with project/programme management is reviewed to optimize at which level governance approval activities should take place.
Organisation	Fully	There are examples of portfolios establishing and defining responsibilities for portfolio governance.	Fully	Portfolios use generic training to enable the achievement of locally defined responsibilities for portfolio governance.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities for portfolio governance, leadership and professionalism.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency for portfolio governance, leadership and professionalism and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio governance, leadership and professionalism.

Organisational Governance: Threads (5)



Planning	Fully There are examples of portfolios identifying approval activities in their portfolio plans.	Fully Portfolios use locally defined approaches to incorporate portfolio approval activities, stop/go decision points and external dependencies into their portfolio plans.	Partially Portfolios use centrally defined approaches to incorporate portfolio approval activities, stop/go decision points and external dependencies into their portfolio plans.	N/A Dependencies between portfolios and external initiatives are quantified resulting in more effective management.	N/A External dependencies relating to the organization's portfolios are managed and controlled.
Process	Fully The need for governance processes is recognized by portfolio leaders.	Fully Portfolios use local processes for: <ul style="list-style-type: none"> • portfolio definition (including balancing the portfolio) • portfolio delivery (including starting/stopping initiatives, reviewing alignment) • portfolio decision-making. 	Fully Portfolios use central processes for: <ul style="list-style-type: none"> • portfolio definition (including balancing the portfolio) • portfolio delivery (including starting/stopping initiatives, reviewing alignment) • portfolio decision-making. 	N/A Process performance analysis is carried out centrally to enable improvements to the governance process used by portfolios.	N/A Process improvement for the organization's portfolio governance capability is proactive based on reviews, feedback and analysis.

Organisational Governance: Threads (6)



Standards	Fully The need for portfolio governance standards is recognized.	Fully Portfolios use locally defined standards for portfolio governance.	Fully Portfolios consistently use centrally defined standards for portfolio governance, including categorization of initiatives and incorporation of relevant regulatory standards.	N/A Central governance standards are refined based upon analysis of portfolio performance.	N/A The organization seeks to improve the categorization of portfolios based on trending analysis of portfolio performance.
Techniques	Fully There are examples of portfolios developing or selecting techniques to support portfolio governance.	Fully There are locally developed business case and options appraisal techniques that portfolios use to enable their portfolio governance effectiveness.	Partially The organization has a set of centrally defined and consistently deployed business case and options appraisal techniques to enable portfolio governance effectiveness.	Fully The organization undertakes analysis the effectiveness of its portfolio governance techniques and evidence of improvement can be demonstrated.	N/A The organization is continually improving the effectiveness of its portfolio governance techniques to ensure that they are optimized.

Management Control Threads (1)



Perspective	MC									
	Level	1	2	3	4	5				
Asset Management	Fully	The organization recognizes the need to manage possession/shutdown of assets at a portfolio level.	Fully	The organization manages possession/shutdown of assets at a portfolio level.	Emergent	There is a centrally defined consistently deployed approach for asset shutdown and outage management.	N/A	The centrally defined approach for asset shutdown evaluates trade-offs for duration of shutdown periods on efficiency of initiative work versus impact of the shutdown period.	N/A	The centrally defined approach for asset shutdown is used to establish optimum asset shutdown strategy such that the lowest total business impact is achieved across the portfolio.
Assurance	Fully	There are isolated examples of portfolio initiatives undertaking assurance reviews	Fully	Portfolios use locally defined approaches to undertake regular portfolio-level reviews assessing achievements.	Partially	Portfolios use a centrally defined consistently deployed approach to undertake regular portfolio-level reviews assessing achievements.	Partially	Portfolios can demonstrate that scrutinizing initiatives has resulted in some being stopped or reshaped to improve the overall performance of the portfolio.	N/A	There are isolated examples of portfolio initiatives undertaking assurance reviews.

Management Control Threads (2)



Behaviours	Fully	There are examples of portfolio leaders who are committed to adherence to portfolio controls.	Fully	Portfolio leaders value the time required for portfolio controls and encourage adherence with locally defined portfolio controls.	Fully	Portfolio leaders value the time required for portfolio controls and encourage adherence with centrally defined portfolio controls.	Fully	Organizational leadership invests time and effort on improving the approach for portfolio controls.	Partially	Organizational leadership engages in identifying continual improvement opportunities for management control.
Commercial Buy	Fully	Portfolio leaders recognize the need for a structured approach for supply chain, procurement and contract management.	Fully	Portfolios use locally defined supply chain, procurement and contract management controls.	Emergent	Portfolios use centrally defined supply chain, procurement and contract management controls.	N/A	The decisions to improve or change the organizational approaches for portfolio-level supply chain, procurement and contract management are informed by past performance.	N/A	Process improvement for portfolio-level supply chain, procurement and contract management is proactive based on predicted trend analysis.

Management Control Threads (3)



Information & Knowledge Management	Fully	There are examples of portfolios using a structured approach to portfolio controls related information and knowledge.	Fully	Portfolios use locally defined approaches to manage portfolio controls related information and knowledge.	Fully	Portfolios consistently use centrally defined approaches to manage portfolio controls/security related information and knowledge for current and future initiatives.	Partially	Information and knowledge, including lessons/benchmarking, is used to improve the organization's approach to portfolio controls and evidence of improvement can be demonstrated.	N/A	Information and knowledge, including lessons/benchmarking, is analysed for trends to enable the organization's portfolio controls performance to be optimized.
	Fully	Portfolios have basic tools for management control.	Fully	Portfolios use local tools for management control.	Fully	There is a centrally maintained portfolio management tool in place used by all portfolios.	Partially	Controls tools are regularly refined by a central group based on assessments of effectiveness.	N/A	Control tools are able to predict portfolio performance based on historical data and trending analysis.

Management Control Threads (4)



Model Integration	Fully	There are examples of initiatives using a gated lifecycle.	Fully	Portfolios ensure that locally defined approaches for controls, escalation, quality and requirements management are applied by their initiatives.	Fully	Centrally defined approaches for controls, escalation, quality and requirements management are consistently applied to initiatives within portfolios.	Partially	The organization uses performance data to refine the integration of portfolio and project/programme management controls and evidence of improvements can be demonstrated.	N/A	The integration of portfolio and project/programme management is reviewed to optimize at which level control activities should take place.
Organisation	Fully	There are examples of portfolios establishing and defining responsibilities for portfolio boards.	Fully	Portfolios use generic training to enable the achievement of locally defined responsibilities for portfolio controls.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities for portfolio controls.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio controls needs and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio controls.

Management Control Threads (5)



Planning	Fully	There are examples of portfolios creating portfolio delivery plans.	Fully	Portfolios use locally defined approaches to support portfolio planning that includes the use of demonstrating alignment/contribution to strategic objectives.	Fully	The organization has a centrally defined and consistently deployed approach to portfolio planning that includes the use of demonstrating alignment/contribution to strategic objectives.	N/A	The approach to portfolio planning is refined based on analysis of comparing actual versus forecast delivery of benefits and strategic objectives.	N/A	The organization is continually improving the effectiveness of its portfolio planning through trending analysis to ensure that planning approaches are optimized.
Process	Fully	The need for controls processes is recognized by portfolio leaders.	Fully	Portfolios use local processes for: <ul style="list-style-type: none"> • defining a portfolio • delivering a portfolio • reviewing a portfolio • starting/stopping/adjusting initiatives. 	Fully	The organization has established central portfolio management processes for: <ul style="list-style-type: none"> • defining a portfolio • delivering a portfolio • reviewing a portfolio • starting/stopping/adjusting initiatives. 	N/A	Process performance analysis is carried out centrally to enable improvements to the controls process used by portfolios.	N/A	Process improvement for the organization's portfolio controls capability is proactive based on reviews, feedback and analysis.

Management Control Threads (6)



Standards	Fully There are examples of portfolios using their own control standards.	Fully There are locally defined standards used by portfolios for portfolio controls.	Partially The organization has centrally defined and consistently deployed standards, including tolerances, for portfolio controls.	N/A The organization undertakes analysis of the effectiveness of its standards for portfolio controls and evidence of improvement can be demonstrated.	N/A The organization seeks to improve central standards portfolio controls based on trending analysis of portfolio performance.
Techniques	Fully There are examples of portfolios developing or selecting techniques to support portfolio controls.	Fully There are locally developed techniques that portfolios use to enable their portfolio controls effectiveness.	Fully The organization has a set of centrally defined and consistently deployed techniques to enable portfolio controls effectiveness, which includes for assessing alignment/contribution.	Partially The organization undertakes analysis of the effectiveness of its portfolio controls techniques and evidence of improvement can be demonstrated.	N/A The organization is continually improving the effectiveness of its portfolio controls techniques to ensure that they are optimized.

Benefits Management Threads (1)



Perspe	BM				
Level	1	2	3	4	5
Asset Management	<p>Whole-life costs of assets are considered when planning initiatives.</p> <p>Fully</p>	<p>Whole-life value and sustainable development of assets are considered when planning initiatives.</p> <p>Emergent</p>	<p>Portfolios take into account whole-life value of assets based on a centrally defined benefits management approach.</p> <p>Emergent</p>	<p>Historical analysis for asset performance is used to define whole-life-value decision-criteria.</p> <p>N/A</p>	<p>Trending analysis for asset performance is used to refine whole-life-value decision criteria to optimize asset investment.</p> <p>N/A</p>
Assurance	<p>There are examples of portfolios undertaking assurance reviews related to benefits management.</p> <p>Fully</p>	<p>There are local approaches to portfolio benefits management assurance being used with recommended actions being reported to portfolio boards.</p> <p>Fully</p>	<p>Benefits management assurance is carried out to a central approach including the dissemination of recommendations to a central group.</p> <p>Fully</p>	<p>Information from benefits management assurance is used to enable improvements to the way the organization undertakes portfolio delivery and evidence of improvement can be demonstrated.</p> <p>Fully</p>	<p>The organization continually monitors the results of assurance reviews to optimize the way benefits are managed.</p> <p>N/A</p>

Benefits Management Threads (2)



Behaviours	Fully	There are examples of portfolio leaders who support the need for measurable benefits.	Fully	Portfolio leaders encourage focus on benefits management.	Fully	Portfolio leaders encourage the use of the organizational approach to benefits management.	N/A	Organizational leadership invests time and effort on improving benefits management processes.	N/A	Organizational leadership engages in identifying continual improvement opportunities for benefits management.
Commercial Buy	Fully	There are examples of initiatives communicating expected benefits in their procurement information.	Fully	Initiatives ensure suppliers understand the relationship between procured items to expected benefits using a local approach.	Emergent	Portfolios ensure their initiatives consistently use the centrally defined approach for suppliers to understand the relationship between procured items to expected benefits.	Partially	The organization assesses impact of commercial models on benefits realization.	N/A	The organization collects data for 'should cost' and 'whole life cost' to inform future design decisions in collaboration with the supply chain.

Benefits Management Threads (3)



Information & Knowledge Management	Fully	There are examples of portfolios using a structured approach to benefits management related information and knowledge.	Fully	Portfolios use locally defined approaches to manage benefits management related information and knowledge.	Fully	Portfolios consistently use centrally defined approaches to manage benefits management related information and knowledge, including how initiatives contribute to strategic benefits.	Partially	Information and knowledge, including lessons/benchmarking, are used to improve the organization's approach to benefits management and evidence of improvement can be demonstrated.	N/A	Information and knowledge are analysed for trends to enable the organization's portfolio-level benefits management performance to be optimized.
	Fully	There are examples of initiatives that use their own tools for benefits analysis.	Fully	Portfolios use locally created tools for benefits management.	Fully	There is a centrally deployed benefits management tool in place that is consistently used across portfolios.	Partially	The benefits management tools used by portfolios are refined based on assessments of effectiveness.	N/A	Portfolio benefits management tools are used to enable analysis to support continuous improvement.

Benefits Management Threads (4)



Model Integration	Fully	The need for portfolios to define how their initiatives manage their benefits is recognized by portfolio leaders.	Fully	Portfolios ensure that initiatives use locally defined approaches for managing benefits.	Fully	There is a centrally defined consistently deployed approach for benefits management across the portfolios.	Partially	Portfolios assess the effectiveness of initiative level benefits realization processes to refine integration across initiatives.	N/A	Portfolios assess the effectiveness of initiative level benefits realization processes to continuously improve integration.
Organisation	Fully	There are examples of individuals undertaking training and development in benefits management.	Fully	Portfolios use generic benefits management training to enable the achievement of locally defined responsibilities.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities in benefits management.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio-level benefits management needs and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio-level benefits management.

Benefits Management Threads (5)



Planning	Fully	It is recognized by portfolio leaders that benefit realization plans need to put in place.	Fully	Portfolios use locally defined approaches to support benefits management planning.	Fully	The organization has a centrally defined approach to portfolio benefits management planning that has been consistently deployed.	Partially	The benefits measurement approach tracks positive and negative effects on the business against a range of operational measures to adjust portfolio benefit realization plans.	Partially	Knowledge gained as initiatives are implemented is used to optimize portfolio delivery plans.
Process	Fully	There are examples where benefits from individual initiatives are collated at portfolio level.	Fully	Portfolios use local processes for: <ul style="list-style-type: none"> • collating benefits • scanning for beneficial change • assessing impact of change. 	Fully	The organization has centrally deployed portfolio management processes for: <ul style="list-style-type: none"> • collating benefits • scanning for beneficial change • assessing impact of change. 	Partially	The organization analyses the effectiveness of its benefits management processes and evidence of improvement can be demonstrated.	N/A	Process improvement for the organization's portfolio-level benefits management capability is proactive based on reviews, feedback and analysis.

Benefits Management Threads (6)



Standards	Fully There are examples of portfolios developing benefits measures.	Fully There are locally defined standards used by portfolios for benefits management.	Fully The organization has centrally defined standards for defining, categorizing and measuring benefits that have been consistently deployed by portfolios.	Partially The organization analyses the effectiveness of its benefits standards and evidence of improvement can be demonstrated.	N/A The organization seeks to improve central benefits management standards based on trending analysis of portfolio performance.
Techniques	Fully There are examples of portfolios developing or selecting techniques to support benefits management.	Fully There are locally developed techniques that portfolios use to enable their benefits management effectiveness.	Fully The organization has a set of centrally defined techniques that are consistently deployed by portfolios to enable benefits management effectiveness.	Partially The organization analyses the effectiveness of its benefits management techniques and evidence of improvement can be demonstrated.	N/A The organization is continually improving the effectiveness of its benefits management techniques to ensure that they are optimized.

Risk Management Threads (1)



Perspective		RiM				
Level		1	2	3	4	5
Asset Management	Fully	Portfolios recognize the need to include the risks to the assets affected by initiatives as part of their risk management approach.	Emergent Portfolios use a local approach to ensure initiatives undertake risk assessments relating to the assets they are changing, creating, acquiring or disposing of.	Partially Portfolios use a central approach to ensure risk assessments by initiatives take account of a range of asset factors.	N/A Initiatives are supported in asset operations and maintenance decision-making by centrally adopted risk management techniques.	N/A Asset management risk assessment criteria enable the organization to optimize its decision-making.
Assurance	Fully	There are examples of portfolios undertaking assurance reviews related to risk management.	Fully There are local approaches to portfolio risk management assurance being used with recommended actions being reported to portfolio boards.	Rarely/Never Risk management assurance is carried out to a central approach including the dissemination of recommendations to a central group.	N/A Information from risk management assurance is used to enable improvements to the way the organization undertakes portfolio delivery and evidence of improvement can be demonstrated.	N/A The organization continually monitors the results of assurance reviews to optimize the way risk is managed.

Risk Management Threads (2)



Behaviours	Fully	There are examples of portfolio leaders supporting a structured approach to risk management.	Fully	Portfolio leaders show support for the local structured approach to risk management.	Fully	Portfolio leaders show consistent support for the organization's approach to risk management.	N/A	Organizational leadership invests time and effort on improving the approach for risk management.	N/A	Organizational leadership engages in identifying continual improvement opportunities for risk management.
Commercial Buy	Fully	There are examples of initiatives identifying and managing risks related to supplier performance.	Fully	Portfolios identify and manage risks related to supplier performance based on local approaches.	Emergent	Portfolios identify and manage risks related to supplier performance based on a centrally defined and consistently deployed approach.	N/A	There is an established organizational approach to analysing supplier performance to improve portfolio risk management and evidence of improvement can be demonstrated.	N/A	Risk data from portfolios is analysed for trends to inform and optimize future contracting strategies.

Risk Management Threads (3)



Information & Knowledge Management	Fully	There are examples of portfolios using a structured approach to risk management related information and knowledge.	Fully	Portfolios use locally defined approaches to manage risk management related information and knowledge.	Rarely/Never	Portfolios consistently use centrally defined approaches to manage risk management related information and knowledge.	N/A	Information and knowledge, including lessons/benchmarking, are used to improve the organization's approach to risk management and evidence of improvement can be demonstrated.	N/A	Information and knowledge, including lessons/benchmarking, are analysed for trends to enable the organization's portfolios risk management performance to be optimized.
Infrastructure & Tools	Fully	Portfolio initiatives use their own risk management tools.	Fully	Local risk tools enable common risks within the portfolio to be identified and treated.	Fully	There is a centrally maintained standard risk management tool in place across portfolios.	N/A	The risk management tool used by portfolios is regularly updated based on assessments of effectiveness.	N/A	A portfolio risk management tool is used enabling analysis such as trending and early warning indicators.

Risk Management Threads (4)



Model Integration	Fully	There are examples of initiatives using a process for reporting risks.	Fully	Initiatives use local processes for identifying, analysing, managing and reporting risks.	Partially	Portfolios ensure initiatives use the centrally defined process for identifying, analysing, managing and reporting risk.	N/A	Portfolios assess the effectiveness of initiative level risk management processes for opportunities for improved integration.	N/A	Lessons from all initiatives are used to improve the risk management approaches and standards for initiatives.
Organisation	Fully	There are examples of individuals undertaking training and development in risk management.	Fully	Portfolios use generic risk management training to enable the achievement of locally defined responsibilities.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities in risk management, including the involvement of operational business as usual (BAU) leaders.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio-level risk management needs and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio-level risk management.

Risk Management Threads (5)



Planning	Fully	It is recognized by senior leadership that plans need to be put in place to address portfolio level risks.	Fully	Portfolios use locally defined approaches to support risk management planning.	Rarely/Never	The organization has a centrally defined and consistently deployed approach to portfolio risk management planning that integrates with business risk planning.	N/A	The approach to risk management planning is refined based on analysing actual versus forecast risk.	N/A	The organization is continually improving the effectiveness of its portfolio risk management planning through trending analysis to ensure that it is optimized.
Process	Fully	The need for risk management process is recognized by portfolio leaders.	Fully	Portfolios use local processes to: <ul style="list-style-type: none"> • collate risks • integrate risks • prioritize risks • incorporate external risks. 	Partially	The organization has centrally deployed portfolio management processes to: <ul style="list-style-type: none"> • collate risks • integrate risks • prioritize risks • incorporate external risks. 	N/A	The organization undertakes analysis of the effectiveness of its portfolio risk management processes and evidence of improvement can be demonstrated.	N/A	Process improvement for the organization's risk management capability is proactive, based on reviews, feedback and analysis.

Risk Management Threads (6)



Standards	Fully	There are examples of portfolios developing risk categories.	Fully	There are locally defined standards used by portfolios for risk management.	Partially	The organization has centrally defined standards for portfolio risk management that have been consistently deployed.	N/A	The organization undertakes analysis of the effectiveness of its risk standards and evidence of improvement can be demonstrated.	N/A	The organization seeks to improve central standards for defining, categorizing and measuring risk based on trending analysis of portfolio performance.
Techniques	Fully	There are examples of portfolios developing or selecting techniques to support risk management.	Fully	There are locally developed techniques that portfolios use to enable their risk management effectiveness.	Partially	The organization has a set of centrally defined techniques that are consistently deployed to enable risk management effectiveness.	N/A	The organization undertakes analysis of its risk management techniques and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its risk management techniques to ensure that they are optimized.

Stakeholder Management (1)



Perspe	SM				
Level	1	2	3	4	5
Asset Management	<p>There are examples of stakeholder interests being considered when planning initiatives.</p> <p>Fully</p>	<p>Portfolio initiatives apply locally defined stakeholder management techniques that map stakeholder influence and interest on asset decisions.</p> <p>Emergent</p>	<p>All portfolio initiatives consistently apply centrally defined stakeholder management techniques to ensure stakeholder interests and influence on asset decisions are evaluated and acted upon.</p> <p>Emergent</p>	<p>N/A</p> <p>The asset-related stakeholder management techniques are regularly refined by a central group based on assessments of effectiveness.</p>	<p>N/A</p> <p>Trending analysis of stakeholder engagement enables the organization to optimize when to consult stakeholders on asset decisions.</p>
Assurance	<p>There are examples of portfolios undertaking assurance reviews related to stakeholder management.</p> <p>Fully</p>	<p>There are local approaches to portfolio stakeholder management assurance being used with recommended actions being reported to portfolio boards.</p> <p>Fully</p>	<p>Stakeholder management assurance is carried out to a central approach including the dissemination of recommendations to a central group.</p> <p>Partially</p>	<p>N/A</p> <p>Information from stakeholder management assurance is used to enable improvements to the way the organization undertakes portfolio delivery and evidence of improvement can be demonstrated.</p>	<p>N/A</p> <p>The organization continually monitors the results of assurance reviews to optimize the way stakeholders are managed.</p>

Stakeholder Management (2)



Behaviours	Fully	There is recognition that collaborative behaviours are needed to enable good stakeholder management.	Fully	Portfolio leaders show support for the local structured approach to stakeholder management.	Fully	Portfolio leaders show consistent support for the organization's approach to stakeholder management.	Fully	Organizational leadership invests time and effort on improving the approach for stakeholder management.	N/A	Organizational leadership engages in identifying continual improvement opportunities for stakeholder management.
Commercial Buy	Fully	There are examples of suppliers being engaged in stakeholder management activities.	Fully	Portfolios use locally defined approaches to include suppliers in stakeholder management activities.	Emergent	Portfolios use centrally defined approaches to include suppliers in stakeholder management activities.	Fully	The organization helps refine supplier stakeholder management approaches based on assessments of effectiveness.	N/A	The organization is continually improving its collaboration with its supply chain to optimize which organization engages with which stakeholders.

Stakeholder Management (3)



Information & Knowledge Management	Fully	There are examples of portfolios using a structured approach to stakeholder management related information and knowledge.	Fully	Portfolios use locally defined approaches to manage stakeholder management related information and knowledge.	Fully	Portfolios consistently use centrally defined approaches to manage stakeholder management related information and knowledge.	N/A	Information and knowledge, including lessons/benchmarking, are used to improve the organization's approach to stakeholder management and evidence of improvement can be demonstrated.	N/A	Information and knowledge, including lessons/benchmarking, are analysed for trends to enable the organization's portfolios stakeholder management performance to be optimized.
Infrastructure & Tools	Fully	There are examples of portfolios using tools for stakeholder analysis.	Fully	Portfolios use locally created tools for stakeholder management.	Fully	There are centrally deployed tools for stakeholder management that are consistently used by portfolios.	N/A	The stakeholder management tools are refined by a central group based on assessments of effectiveness.	N/A	Tools enable the organization to optimize stakeholder engagement activities based on trending analysis of stakeholder feedback.

Stakeholder Management (4)



Model Integration	Fully	The need for initiatives to standardize their stakeholder management processes is recognized by senior leadership.	Fully	Initiatives follow stakeholder management processes defined by their local portfolio.	Fully	Portfolios ensure their initiatives are following the centrally defined approach to stakeholder management.	N/A	Portfolios assess the effectiveness of initiative level stakeholder management processes for opportunities for improved integration.	N/A	Lessons from all initiatives are used to improve the stakeholder management approaches.
Organisation	Fully	There are examples of individuals undertaking training and development in stakeholder management.	Fully	Portfolios use generic stakeholder management training to enable the achievement of locally defined responsibilities.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities in stakeholder management.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio level stakeholder management needs and evidence of improvement can be demonstrated.	N/A	Organizational knowledge and processes for stakeholder management enables portfolios to prepare optimized stakeholder plans based on past experience.

Stakeholder Management (5)



Planning	Fully	Portfolio initiatives have stakeholder management plans.	Fully	Local portfolio stakeholder engagement and communications plans coordinate activities across their initiatives.	Fully	A stakeholder engagement and communications plan is produced by each portfolio to a consistently deployed central approach.	N/A	Stakeholder engagement and communications plans are adjusted as needed based on feedback or reviews.	N/A	Organizational knowledge and processes for stakeholder management enables portfolios to prepare optimized stakeholder plans based on past experience.
Process	Fully	The need for the stakeholder management process is recognized by portfolio leaders.	Fully	Portfolios use local portfolio management processes to: <ul style="list-style-type: none"> • manage stakeholders • manage change • manage communications. 	Fully	The organization has centrally deployed portfolio management processes to: <ul style="list-style-type: none"> • manage stakeholders • manage change • manage communications. 	N/A	The organization undertakes analysis of the effectiveness of its portfolio stakeholder management processes and evidence of improvement can be demonstrated.	N/A	Process improvement for the organization's stakeholder management capability is proactive based on reviews, feedback and analysis.

Stakeholder Management (6)



Standards	Fully There are examples of portfolios categorizing stakeholders.	Fully There are locally defined standards used by portfolios for stakeholder management and communications.	Fully The organization has centrally defined standards for portfolio stakeholder management and communications that have been consistently deployed.	N/A The organization undertakes analysis of the effectiveness of its stakeholder standards and evidence of improvement can be demonstrated.	N/A The organization seeks to improve central standards for defining, categorizing and measuring stakeholders based on trending analysis of portfolio performance.
Techniques	Fully There are examples of portfolios developing or selecting techniques to support stakeholder management.	Fully There are locally developed techniques that portfolios use to enable their stakeholder management effectiveness.	Fully The organization has a set of centrally defined techniques that are consistently deployed to enable stakeholder management effectiveness.	N/A The organization undertakes analysis of the effectiveness of its stakeholder management techniques and evidence of improvement can be demonstrated.	N/A The organization is continually improving the effectiveness of its stakeholder management techniques to ensure that they are optimized.

Financial Management (1)



Perspective		FM				
Level		1	2	3	4	5
Asset Management	Fully	The costs of assets are understood by initiatives as part of the business case.	Portfolios use local accounting practices for the changing, creation, acquisition or disposal of assets.	Emergent Accounting practices for the changing, creation, acquisition or disposal of assets follow a centrally defined and consistently deployed approach.	N/A Portfolios use a centrally deployed database of asset costs to inform both capital investment and operational investment decisions.	N/A The organization analyses asset costs for trends in order to optimize its approaches for asset investment decision-making.
Assurance	Fully	There are examples of initiatives undertaking assurance reviews related to finance management.	There are local approaches to portfolio finance management assurance being used with recommended actions being reported to portfolio boards.	Partially Finance management assurance is carried out to a central approach including the dissemination of recommendations to a central group.	N/A Information from finance management assurance is used to enable improvements to the way the organization undertakes portfolio delivery and evidence of improvement can be demonstrated.	N/A Finance-related reviews assure the leaders of the organization that delivery will be successful, efficient and provide an optimum return on the investments made.

Financial Management (2)



Behaviours	Fully	There are examples of portfolio leaders supporting a structured approach to finance management.	Fully	Portfolio leaders show support for the local structured approach to finance management including business case development and performance monitoring.	Fully	Portfolio leaders show consistent support for the organization's approach to finance management including business case development performance monitoring.	Partially	Organizational leadership invests time and effort on improving the approach for finance management.	N/A	Organizational leadership engages in identifying continual improvement opportunities for finance management.
Commercial Buy	Fully	There are examples of initiatives providing information that define their commercial position (costs).	Emergent	Portfolios manage finances related to procurement and supplier contracts based on local approaches.	Emergent	Portfolios manage finances based on a centrally defined approach for funding, procurement and contract management.	N/A	There is an established organizational approach to analysing supplier and funding performance to improve commercial management of portfolios and evidence of improvement can be demonstrated.	N/A	Portfolio costs are optimized through understanding trends in supply chain costs and funding.

Information & Knowledge Management	Fully	There are examples of initiatives using a structured approach to finance-related information and knowledge.	Fully	Portfolios use locally defined approaches to manage finance-related information and knowledge.	Fully	Portfolios consistently use centrally defined approaches to manage finance-related information and knowledge.	Partially	Information and knowledge, including lessons/benchmarking, is used to improve the organization's approach to finance management and evidence of improvement can be demonstrated.	N/A	Information and knowledge, including lessons/benchmarking, is analysed for trends to enable the organization's portfolios finance management performance to be optimized.
Infrastructure & Tools	Fully	There are examples of the use of tools for portfolio financial management.	Fully	There are locally defined financial management tools for initiatives that have defined interfaces to enable aggregation by the local portfolio.	Rarely/Never	There is a centrally maintained portfolio financial management tool in place that aggregates financial information across initiatives.	N/A	The integrated portfolio financial management tool is being updated based on assessments of effectiveness.	N/A	An enterprise-wide integrated portfolio financial management tool is used for analysing financial trends to optimize investments.

Financial Management (4)



Model Integration	Fully	The need for portfolios to define how their initiatives manage their finance is recognized by portfolio leaders.	Fully	Initiatives in the portfolios use locally defined approaches for managing finances.	Fully	Portfolios ensure their initiatives consistently apply the centrally defined approach for financial management.	N/A	The organization assesses the effectiveness of initiative level finance management to improve its integration at the portfolio level.	N/A	Lessons from all initiatives are used to optimize the integration of financial management between portfolios and their initiatives.
Organisation	Fully	There are examples of individuals undertaking training and development in portfolio finance management.	Fully	Portfolios use generic finance management training to enable the achievement of locally defined responsibilities.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities in portfolio finance management.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio-level finance management needs and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio-level finance management.

Financial Management (5)



Planning	Fully	There are examples of portfolios creating finance management plans.	Fully	Portfolios use locally defined approaches to support finance management planning including budgeting.	Emergent	The organization has a centrally defined approach to portfolio finance management planning including budgeting that has been consistently deployed.	Partially	The approach to finance management planning including budgeting is refined based on analysis actual versus forecast finances.	N/A	Knowledge gained as initiatives are implemented is used to optimize the financial parts of portfolio delivery plans.
Process	Fully	The need for finance management process is recognized by portfolio leaders.	Fully	Portfolios use local processes for finance management.	Emergent	The organization has centrally defined and consistently deployed portfolio finance management processes, which include investment approval, the stage release of funds and managing finance risk.	N/A	The organization analyses the effectiveness of its portfolio finance management processes and evidence of improvement can be demonstrated.	N/A	Process improvement for the organization's finance management capability is proactive based on reviews, feedback and analysis.

Financial Management (6)



Standards	Fully	There are examples of finances being categorized.	Fully	There are locally defined standards used by portfolios for finance management.	Emergent	The organization has centrally defined standards for portfolio finance management that have been consistently deployed.	N/A	The organization analyses the effectiveness of its finance standards and evidence of improvement can be demonstrated.	N/A	The organization seeks to improve central standards for defining, categorizing and measuring finance based on trending analysis of portfolio performance.
Techniques	Fully	There are examples of portfolios developing or selecting techniques to support finance management.	Emergent	There are locally developed techniques that portfolios use to enable their finance management effectiveness.	Emergent	The organization has a set of centrally defined techniques that are consistently deployed to enable finance management effectiveness.	N/A	The organization analyses the effectiveness of its finance management techniques and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its finance management techniques to ensure that they are optimized.

Resource Management (1)



Perspe Level	ReM				
	1	2	3	4	5
Asset Management	<p>Fully</p> <p>The need for asset management competency for portfolio management personnel is recognized by senior leadership.</p>	<p>Fully</p> <p>Local portfolio plans define asset management competency requirements for local portfolio personnel.</p>	<p>Emergent</p> <p>There is a centrally defined approach which defines asset management competency requirements for all layers involved in portfolio management.</p>	<p>N/A</p> <p>Performance is assessed for asset management competency to ensure effectiveness of relevant competency frameworks.</p>	<p>N/A</p> <p>Asset management skills are embedded into organizational leadership and management.</p>
Assurance	<p>Fully</p> <p>There are examples of portfolios undertaking assurance reviews related to resource management.</p>	<p>Fully</p> <p>There are local approaches to portfolio resource management assurance being used with recommended actions being reported to portfolio boards.</p>	<p>Fully</p> <p>Resource management assurance is carried out to a central approach including the dissemination of recommendations to a central group.</p>	<p>Partially</p> <p>Information from resource management assurance is used to enable improvements to the way the organization undertakes portfolio delivery and evidence of improvement can be demonstrated.</p>	<p>Partially</p> <p>The organization continually monitors the results of assurance reviews to optimize the way resources are managed.</p>

Resource Management (2)



Behaviours	Fully	There are examples of leaders who support the need to define resource requirements prior to approval of initiatives.	Fully	Portfolio leaders show support for the local structured approach to portfolio resource management.	Fully	Portfolio leaders show consistent support for the organization's approach to portfolio resource management.	Fully	Organizational leadership invests time and effort on improving the approach for portfolio resource management.	N/A	Organizational leadership engages in identifying continual improvement opportunities for portfolio resource management.
Commercial Buy	Fully	There are examples of portfolio leaders supporting a structured approach to procurement and supply chain management.	Emergent	Portfolios use locally defined approaches for procurement and supply chain management.	Emergent	Portfolio management is integrated with organizational approaches for supply chain and procurement management.	N/A	The decisions to improve or change the organizational approach for supply chain and procurement management is informed by past performance.	N/A	Resource demand data from portfolios and supply chain capacity data is analysed for trends to inform and optimize future resourcing strategies.

Resource Management (3)



Information & Knowledge Management	Fully	There are examples of portfolios using a structured approach to resource management related information and knowledge.	Fully	Portfolios use locally defined approaches to manage resource management related information and knowledge.	Partially	Portfolios consistently use centrally defined approaches to manage resource management related information and knowledge.	N/A	Information and knowledge, including lessons/benchmarking, are used to improve the organization's approach to resource management and evidence of improvement can be demonstrated.	N/A	Information and knowledge, including lessons/benchmarking, are analysed for trends to enable the organization's portfolios resource management performance to be optimized.
Infrastructure & Tools	Fully	Initiatives in portfolios use their own tools for resource management.	Fully	Resource management is carried out using a locally defined portfolio-level resource management tool.	Fully	There is a centrally maintained standard resource management tool in place across portfolios.	Partially	The resource management tool used by portfolios is regularly updated based on assessments of effectiveness.	N/A	The portfolio resource management tool is used for enabling analysis that helps improve resource performance.

Resource Management (4)



Model Integration	Fully	The need for portfolios to define how their initiatives manage resources is recognized by senior leadership.	Fully	There is a local approach for portfolios to define how their initiatives manage resources.	Fully	There is a centrally defined consistently deployed approach for portfolios to define how their initiatives manage resources.	N/A	Portfolios assess the effectiveness of initiative-level resource management processes for opportunities for improved integration.	N/A	Lessons from all initiatives are used to improve resource management across the organization.
Organisation	Fully	There are examples of individuals undertaking training and development in resource management.	Emergent	Portfolios use generic resource management training to enable the achievement of locally defined responsibilities.	Emergent	The organization has a centrally defined approach to developing skills to meet defined competencies and responsibilities in resource management.	N/A	The organization analyses the effectiveness of its structures, responsibilities and competency to meet portfolio-level resource management needs and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its structures, responsibilities and competency to ensure that they are optimized for portfolio-level resource management.

Resource Management (5)



Planning	Fully	It is recognized by senior leadership that portfolio plans need to include resource requirements.	Fully	Local portfolios aggregate resource plans from their initiatives to provide an understanding of the portfolio resource requirements.	Fully	Portfolios have a clear view of the organization's total demand plan for all types of resources, including those in the future pipeline.	N/A	Resource management plans are refined based on actual, forecast and target performance.	N/A	Organizational knowledge and processes for resource management enables portfolios to prepare optimized resource plans based on past experience.
Process	Fully	The need for resource management process is recognized by portfolio leaders.	Fully	Portfolios use local processes to: <ul style="list-style-type: none"> • manage resource utilization • manage business as usual (BAU) secondments • manage resources allocation • review resource allocation. 	Fully	The organization has centrally deployed portfolio management processes to: <ul style="list-style-type: none"> • manage resource utilization • manage business as usual (BAU) secondments • manage resource allocation • review resource allocation. 	Partially	The organization analyses the effectiveness of its portfolio resource management processes and evidence of improvement can be demonstrated.	N/A	Process improvement for the organization's resource management capability is proactive based on reviews, feedback and analysis.

Resource Management (6)



Standards	Fully	There are examples of portfolios classifying resources.	Fully	There are locally defined standards used by portfolios for resource management.	Fully	The organization has centrally defined standards for portfolio resource management that have been consistently deployed.	N/A	The organization analyses the effectiveness of its resource standards and evidence of improvement can be demonstrated.	N/A	The organization improves central resource management standards based on analysis of portfolio management performance.
Techniques	Fully	There are examples of portfolios developing or selecting techniques to support resource management.	Fully	There are locally developed techniques that portfolios use to enable their resource management effectiveness.	Fully	The organization has a set of centrally defined techniques that are consistently deployed to enable resource management effectiveness.	N/A	The organization analyses the effectiveness of its resource management techniques and evidence of improvement can be demonstrated.	N/A	The organization is continually improving the effectiveness of its resource management techniques to ensure that they are optimized.

The Portfolio Management Maturity Model



Portfolio Management Maturity Model (PfM3)



Level 5 Optimised	Does the organization run continual process improvement with proactive problem and technology management for Portfolios in order to improve its ability to predict performance over time and optimize processes?						
Level 4 Managed	Does the organization obtain and retain specific measurements on its Portfolio management performance and run a quality management organization to better predict future performance?						
Level 3 Defined	Does the organization have its own centrally controlled Portfolio processes and can individual Portfolios flex within these processes to suit the particular Portfolio?						
Level 2 Repeatable	Does the organization ensure that each Portfolio is run with its own processes and procedures to a minimum specified standard? (There may be limited consistency or coordination between Portfolios.)						
Level 1 Awareness	Does the organization recognize Portfolios and run them differently from its ongoing business? (Portfolios may be run informally with no standard process or tracking system.)						
	Organisational Governance	Management Control	Benefits Management	Risk Management	Stakeholder Management	Financial Management	Resource Management

Threads
Processes and Procedures
Standards
Planning
Techniques
Infrastructure and tools
Roles and Responsibilities
Information and knowledge
Behaviours
Model Integration
Asset Management
Commercial Management

Organizational governance

Level 1 – Awareness	The organization attempts to align individual initiatives with organizational objectives, but there is an ad-hoc, inconsistent and ineffective oversight of initiatives.
Level 2 – Repeatable	The portfolio is recognized by the organization, but there is still little overall leadership and direction for the process. Initiatives may be initiated and run without full regard to the organizational goals, priorities and targets.
Level 3 – Defined	The principles of portfolio management are widely understood, practised to a consistent standard, and underpin the governance framework.
Level 4 – Managed	The initiatives within the portfolios are prioritized in terms of their contribution to the organization’s strategic objectives and overall level of risk.
Level 5 – Optimized	The portfolio of change initiatives is collectively sufficient to achieve the desired contribution to strategic objectives.

Management control

Level 1 – Awareness	The organization recognizes the portfolio(s) but has little or nothing in terms of documented processes or standards for managing the portfolio(s).
Level 2 – Repeatable	There are some pockets of portfolio management discipline within individual departments, but this is based on key individuals rather than as part of a comprehensive and consistent organization-wide approach.
Level 3 – Defined	Portfolio management processes are centrally defined, documented and understood, as are roles and responsibilities for controlling portfolios.
Level 4 – Managed	Portfolio management processes exist and are proven. Portfolio management has established metrics against which success can be measured.
Level 5 – Optimized	Portfolios are managed consistently to ensure efficient and effective delivery.

Benefits management

Level 1 – Awareness	There is a recognition that initiatives may exist within the organizational and divisional portfolio to enable the achievement of benefits for the organization.
Level 2 – Repeatable	The development of the investment cycle is increasing the awareness and importance of identifying benefits and subsequently tracking their achievement.
Level 3 – Defined	There is a centrally managed framework used for defining and tracking the delivery of portfolio-level benefits across the business operations.
Level 4 – Managed	The benefits realization and management process is well established, measurable and is integrated into how the organization manages itself.
Level 5 – Optimized	Benefits realization is maximized to provide the greatest return (in terms of strategic contribution and efficiency) from the investment made.

Risk management

Level 1 – Awareness	There may be a growing recognition that risks need to be managed and that they can threaten the successful delivery of the portfolio.
Level 2 – Repeatable	There is a top-down approach to risk identification, focusing on organizational initiatives, but some initiatives are carrying out bottom-up risk identification. These approaches are inconsistent, not interrelated and often fail to address risk management as a whole.
Level 3 – Defined	Portfolio risks are identified and quantified, and mitigation plans are developed and funded. Risk management across the portfolio is based on a common, centrally managed process.
Level 4 – Managed	The organization's appetite for risk and the balance of risk and benefit across the portfolio are continually reviewed and managed.
Level 5 – Optimized	The process of portfolio risk management is continually improved, based on the analysis of evidence from within the organization and comparison with other organizations.

Stakeholder management

Level 1 – Awareness	Stakeholder engagement and communication are rarely used by portfolios as elements of the delivery toolkit.
Level 2 – Repeatable	Some portfolios are communicating effectively, but this is linked more to the personal initiative of portfolio managers than to a structured approach deployed by the organization.
Level 3 – Defined	There is a centrally managed and consistent approach to stakeholder engagement and communications, used by all portfolios.
Level 4 – Managed	Sophisticated techniques are used to analyse and engage the stakeholder community, and quantitative information is used to underpin the assessment of effectiveness.
Level 5 – Optimized	Communications are being optimized from extensive knowledge of the stakeholder environment, to enable the portfolios to achieve their strategic objectives.

Finance management

Level 1 – Awareness	Portfolio oversight of the financial aspects of initiatives may be recognized but there is little or no organizational investment control.
Level 2 – Repeatable	There are some pockets of good business case production and some, usually departmental, structures to oversee investment decisions.
Level 3 – Defined	There are established standards for the investment management process and the preparation of business cases.
Level 4 – Managed	The organization has robust financial control of its investment decisions and the approval and monitoring of initiatives. There is proactive, evidence-based portfolio management.
Level 5 – Optimized	Funding and other resources are re-allocated to ensure that the initiatives are contributing to, and will continue to contribute to, the strategic objectives.

Resource management

Level 1 – Awareness	Portfolio resource requirements are recognized but not systematically managed. Resource allocation is ad hoc, with little profiling of resources to meet specific initiative requirements.
Level 2 – Repeatable	The organization has started to develop portfolio resource management processes and improve the identification and allocation of resources to specific initiatives.
Level 3 – Defined	Portfolio resource management is centrally defined. Initiative resource needs are evaluated, enabling the organization to target and increase the development of resources to meet strategic objectives and priorities.
Level 4 – Managed	The organization has effective capacity and capability strategies and processes for obtaining, allocating and adjusting resources in line with medium- and long-term investment plans.
Level 5 – Optimized	Portfolio management drives the planning, development and allocation of initiatives to optimize the use of resources in achieving the strategic objectives and priorities.

Thread	Description
Asset management	The set of practices that are applied to assets in order to provide the required level of service in the most cost-effective manner. It includes the management of design, construction, commissioning, operating, maintaining, repairing, modifying, replacing and decommissioning/disposal of assets. (Note that project management assets (such as a project plan) are not considered as assets in P3M3. These are instead covered as part of configuration management in management control).
Assurance	All the systematic actions necessary to provide confidence that the target (system, process, organization, programme, project, outcome, benefit, capability, product output, deliverable) is appropriate. Assurance will have a level of independence from that which is being assured.
Behaviours	Covers the focus, motivation and prioritization of work and the team's/individual's commitment to achieving success within the perspective.
Commercial – buy	The commercial management activities (e.g. procurement) of a client who specifies work and commissions others to deliver it.
Commercial – sell	The commercial management activities (e.g. bidding) of a supplier who delivers work for clients.
Information and knowledge management	How the organization captures, stores, organizes and references information of any sort (this includes lessons reports, document management and guidance). In this way the organization builds capability through the sharing of knowledge and experience.
Infrastructure and tools	The tools and systems used to manage and support a perspective. It could be as simple as a template or as complex as an enterprise portfolio, programme and project management system. This thread often underpins the information and knowledge management thread, and is an early indicator of maturity based on intent and the need for better management information.
Model integration	How the model integrates with other models (e.g. how programmes integrate with projects). Working from the top down, this thread focuses on the triggers and activities that enable integration at the different levels. For example, a programme needs to have decent project controls that span the seven perspectives if it is to achieve integration with its projects.

Thread	Description
Organization	The structure, hierarchy and competencies of people in relation to that perspective. This is a key part of P3M3 because it focuses on the people aspects. For example, the organization thread includes having clear roles and responsibilities, competency frameworks, and competency development through training and coaching.
Planning	Planning determines what is to be delivered, how much it will cost, when it will be delivered, how it will be delivered, and who will carry it out in the context of the perspective. For example, in benefits management, it relates to the planning of benefits management activities.
Process	A sequence of tasks that is used to achieve an output. In the context of the perspective, it will be the common management approach. For example, in the risk management perspective, the risk process will be the four steps: Identify, Analyse, Manage and Review.
Standards	Standards (e.g. policies, rules and categorization/classification) require conformance and are a key part of P3M3. Increasing maturity is about setting standards that consistent processes are able to follow. Use of this thread shows that the organization is defining its expectations.
Techniques	The techniques used to perform a process can vary considerably. Techniques also underpin the information and knowledge management thread; as the organization becomes more sophisticated, it specifies the techniques that will improve performance (e.g. techniques for evaluating risk).