

**(1) 1. Strategy a) Environment: 1. Do people within the organization have a shared understanding of the organizational strategic goals and objectives?**

**Preamble: <Preamble>**

**Option 1. Personal circumstances dictate how people see the world and skews how they see their relationship to the organizational strategy.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. People can distance themselves from their personal circumstances, see the big picture, and appreciate its implications for strategy.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(2) 1. Strategy a) Environment: 2. Do organizational decision makers strive to understand the uncertainty and complexity of their environment?**

**Preamble: *Decision quality requires a strategic perspective to account for uncertainty and to untangle the subtleties of complex systems.***

**Option 1. Efforts to understand the environment do not consider uncertainty and complexity of the environment.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. An understanding of the environment is achieved by making sense of uncertainty and complexity in ways that facilitate effective decision making.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(3) 1. Strategy a) Environment: 3. Are people encouraged to work together and share ideas?

Preamble: *The sharing of ideas and knowledge across organizational functions is a significant advantage to a company.*

Option 1. People are discouraged from working together and sharing ideas.

Option 2.

Option 3.

Option 4.

Option 5. People are encouraged to work together and share ideas.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(4) 1. Strategy a) Environment: 4. Do people across the organization have a good understanding of their level of influence and control within their environment?

Preamble: *Clear roles, responsibilities and competency requirements enable people to develop a greater understanding of their value to the organization.*

Option 1. People have no real comprehension of what they can influence and what is within and beyond their control.

Option 2.

Option 3.

Option 4.

Option 5. People know what they can influence and what is beyond their control.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(5) 1. Strategy a) Environment: 5. Do people within the organization have a clear understanding of their role and its importance within the organizational system?

*Preamble: When people understand their role within the organization, they tend to be more productive and can contribute more value to decision making processes due to their comfort and confidence levels.*

Option 1. People have no way of relating their role and job to a higher organizational system and set of goals.

Option 2.

Option 3.

Option 4.

Option 5. People understand how their jobs and their actions are part of a larger system.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(6) 1. Strategy b) Management: 1. Is there an approach to strategic planning?**

**Preamble: *A well managed strategic planning process is essential to the development of effective organizational strategy.***

**Option 1. There is no approach or an informal approach to strategic planning.**

**Option 2.**

**Option 3. There is a defined approach to strategic planning.**

**Option 4.**

**Option 5. There is a formal and well defined and managed approach to strategic planning.**

**Postscript: *<Postscript>***

**Construct: *<Construct>***

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(7) 1. Strategy b) Management: 2. Does the strategic development and decision support team (Panel) work with a complete set of decision support information?**

**Preamble: <Preamble>**

**Option 1. No, the Strategic management "team" does not see the big picture or company as a whole, or "core" competencies, therefore can't always have facts and data to make decisions.**

**Option 2.**

**Option 3. The Strategic management "team" attempts to coordinate decisions with Portfolio and Program management, therefore has a good understanding of all facts and data to make decisions.**

**Option 4.**

**Option 5. Absolutely yes, the Strategic management "team" coordinates decisions with Portfolio and Program management, which leads to a clear understanding of all facts and data to make decisions.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(8) 1. Strategy b) Management: 3. Are strategic priorities clearly articulated?**

**Preamble: <Preamble>**

**Option 1. Strategy is not made clear enough for it to be useful.**

**Option 2.**

**Option 3. Strategies are clear and actionable. Feedback is not present or informal. There is little or no consequence for failing to follow the strategic direction or achieve any strategic goals**

**Option 4.**

**Option 5. Strategies are clear and actionable. Formal feedback is presented. There are consequences for failing to follow the strategic direction or achieve strategic goals. Strategic plans and their priorities are reviewed on an ongoing basis.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(9) 1. Strategy b) Management: 4. Are processes in place to anticipate and adapt to changes in strategic direction?**

**Preamble: <Preamble>**

**Option 1. Strategy and strategic plans are static. Interim and situational review processes are not in place.**

**Option 2.**

**Option 3. The strategy development process is somewhat flexible but mostly reactionary to changes of strategic direction.**

**Option 4.**

**Option 5. An ongoing and flexible strategic development process is in place that anticipates and adapts to changes in strategic direction.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(10) 1. Strategy c) Performance: 1. Is a performance based process used to develop and implement strategy and strategic decisions?**

***Preamble: Organizations can be reluctant to disappoint valued managers and employees. While being sensitive to the needs and egos of various stakeholders is extremely important, the performance requirements for and from the strategic development and execution processes should be the primary objective of any organization.***

**Option 1. Strategic decisions and strategy development do not follow agreed upon processes that can be monitored for their performance.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. Strategic decisions and strategy development follow agreed upon processes that are monitored for their effectiveness in creating and executing high performance strategies.**

***Postscript: Speaks to performance of the strategy development and implemetation process***

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(11) 1. Strategy c) Performance: 2. Does the development of strategy consistently follow a performance based process?**

**Preamble:** *A process can only be optimized for performance if it is controlled and applied in a consistent manner.*

**Option 1.** The development and execution of strategic decisions is always approached differently.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** The organizational leadership provide the discipline to avoid organizational distractions and maintain consistency in the development and execution of strategy.

**Postscript:** *Speaks to performance of the strategy development and implemetation process*

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(12) 1. Strategy c) Performance: 3. Is performance understood and important to strategic decision makers?

**Preamble:** *Good leadership is an important aspect of any organization but its importance when it comes to making strategic decisions cannot be overestimated.*

**Option 1.** Responsibility for developing and making performance based strategic decisions is not clear and defaulted to mid level management.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Strong leaders, who understand performance requirements, and who are willing to make choices are available and engaged in strategic development and decision making.

**Postscript:** *Speaks to performance of the strategy development and implementation process*

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(13) 1. Strategy c) Performance: 4. Do decision team and strategy development team members have the authority to make performance related decisions?

**Preamble:** *For high performing strategy development and implementation at the business unit level, the decision team and strategy team need the authority to make necessary decisions in a timely manner.*

**Option 1.** Strategy and decision team members cannot make the performance related decisions without involving overarching organizational strategic planners.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Strategy and decision team members are empowered to make sound performance based choices.

**Postscript:** *Speaks to performance of the strategy development and implemetation process*

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(14) 1. Strategy c) Performance: 5. Is the strategy development process monitored and controlled to specified performance criteria?**

**Preamble:** *The development of strategy and strategic decisions can be a complex process. The process however, like any other, can improve if its performance is measured and analyzed over time.*

**Option 1.** Strategic decisions and the development of strategy do not follow any established process.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Because of the difficulty in making choices and trade-offs, a clear, performance based, intelligent framework to guide the development of strategy is employed.

**Postscript:** *Speaks to performance of the strategy development and implemetation process*

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(15) 1. Strategy c) Performance: 6. Are the expectations for performance of the strategy development process understood by the stakeholders?

**Preamble:** *Well communicated strategy is used to guide employees in making choices that arise because of trade-offs in their individual activities and in day-to-day decisions.*

**Option 1.** Employees and initiative team members are unclear about the importance that their activities have to the overall performance of the organization.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Strategy and strategic decisions are developed by a consistent and well communicated dialogue-decision-process model that clearly communicates the importance of individual activities to strategic performance.

**Postscript:** *Speaks to performance of the strategy development and implementation process*

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(16) 1. Strategy c) Performance: 7. Is performance data from the strategy development process used for continual improvement and learning by the organization?**

**Preamble: *Continuity and consistency in developing and executing strategic decisions makes the organization's continual performance improvement more effective.***

**Option 1. How well strategic decisions are developed and implemented is not considered in the organization's continual performance improvement plans.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. Strategic decision development and implementation performance is used as part of the organization's continual learning and improvement goals.**

**Postscript: *Speaks to performance of the strategy development and implemetation process***

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(17) 1. Strategy d) Governance: 1. Is there an overall governance approach for aligning the strategy of the organization with overall execution of the strategy?**

**Preamble: <Preamble>**

**Option 1. There is no formal approach to governance in place. Misalignment is common.**

**Option 2. There is no formal approach to governance in place. Operations are generally in align with strategy. Strategy is weak.**

**Option 3. There is no formal approach to governance in place. Operations are generally in align with strategy. Strategy is strong.**

**Option 4.**

**Option 5. There is a formal and well defined and managed approach to governance of the organization.**

**Postscript: *It may be that organizational planning is a distinct function.***

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(18) 1. Strategy d) Governance: 2. How is governance structured within the organization?**

**Preamble: *Governance exists at all levels of the organization. It can be formal or informal and it can be defined for just a few levels of authority or for all levels from the point of definition to the lowest level of the organization.***

**Option 1. Governance is not defined at the strategic level. The lower levels of the organization can define their own governance requirements as they see fit.**

**Option 2.**

**Option 3. Centralized governance is formally defined down to the program management and functional levels within the organization.**

**Option 4.**

**Option 5. Centralized governance is formally defined for the entire organization.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(19) 1. Strategy d) Governance: 3. Is technology, support, and infrastructure strategy addressed as part of the overall business strategy?**

**Preamble: <Preamble>**

**Option 1. The technology strategy of the organization is developed and managed separately from the overarching business strategy and respective governance model.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. Technology strategy is developed and managed as part of the overarching business strategy and governance guidelines.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(20) 1. Strategy d) Governance: 4. Does the strategic governance model address technology and "Make or Buy" decisions?**

**Preamble: <Preamble>**

**Option 1. These decisions are made categorically.**

**Option 2.**

**Option 3. These decisions are analyzed, but the final decision is usually either fully make or fully buy.**

**Option 4.**

**Option 5. These decisions are made after careful analysis, and are usually mixed with some elements being made and others being bought, based on the analysis.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(21) 1. Strategy d) Governance: 5. Is there a process used to govern alliance decisions?**

**Preamble: <Preamble>**

**Option 1. There is no process in place. These decisions are made ad hoc, if at all.**

**Option 2.**

**Option 3. A robust alliance decision process is used. Partners are not actively sought, except where the need is exceptional.**

**Option 4.**

**Option 5. A very robust alliance decision process is used. Partners are actively sought.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(22) 1. Strategy d) Governance: 6. Does strategy and senior management influence operations?**

**Preamble: <Preamble>**

**Option 1. Senior management is largely a "hands off" operations.**

**Option 2. Senior management is mostly "hands off", but does take an active interest in operational performance and will react to exceptions.**

**Option 3. Senior management is somewhat "hands off", but does take an active interest in operations and will support initiatives.**

**Option 4.**

**Option 5. Senior management is an-active participant in operational governance, taking an active interest the sponsorship of initiatives and their impact to operations.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(23) 1. Strategy d) Governance: 7. Does senior management prevent organizational distractions to strategic initiatives?**

**Preamble: <Preamble>**

**Option 1. Senior management does not actively prevent or mitigate organizational distractions.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. Senior management actively prevents or mitigates organizational distractions and acts affirmatively to assure direction is maintained.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(24) 1. Strategy e) Decision Making: 1. Are business decisions approached scientifically?**

**Preamble:** *Business results tend to be thought of in terms of numbers and impact to the bottom line. It is important that inhibitors and risks to that bottom line also be quantifiable.*

**Option 1.** Business decisions are based on "gut feel" by functional managers.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Formal models and sensitivity analysis are routinely used to support business decisions.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(25) 1. Strategy e) Decision Making: 2. Is marketing and competitive intelligence utilized in the strategic decision making process?

Preamble: *Scenario modelling and game theory can be used to generate proposed strategies for future states.*

Option 1. Alternative future scenarios are based on internal assumptions.

Option 2.

Option 3.

Option 4.

Option 5. Strategic marketing and competitive intelligence units generate alternative future scenarios based on robust outside-in information.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

**(26) 1. Strategy e) Decision Making: 3. Do organizational decision makers seek and use outside information in their decision making process?**

**Preamble:** *Looking at a problem or a decision to be made from the outside inward to our organization can develop a greater knowledge of what our role should be.*

**Option 1.** Outside information is rarely sought for use in decision making

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Outside information is actively sought and used in decision making.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(27) 1. Strategy e) Decision Making: 4. Does the organization have an accurate sense of its industry and customer base?**

**Preamble: *An outside-in strategic perspective requires creating and validating a strategic interpretation of the environment.***

**Option 1. The company makes invalidated assumptions about the dynamics of its industry and customers.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. The company understands the dynamics of its industry and customers.**

**Postscript: *<Postscript>***

**Construct: *<Construct>***

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(28) 1. Strategy e) Decision Making: 5. Do decision makers account for environmental uncertainty in their decision making process?**

**Preamble:** *Embracing uncertainty is about recognizing what is unknown, and being able to understand, communicate, and manage this lack of knowledge.*

**Option 1.** Decision makers do not consider sources of uncertainty when making decisions.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Decision makers seek to understand all sources of uncertainty and use that knowledge for managing expectations.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(29) 1. Strategy e) Decision Making: 6. Do decision makers understand what can and cannot be controlled in their environment?**

**Preamble:** *Decision processes control the quality of decisions made but outcomes are still subject to chance.*

**Option 1.** Decision makers believe that decisions and their outcomes are easily controlled..

**Option 2.**

**Option 3.** Decision makers recognize that the decision making process can be managed, though the outcomes cannot.

**Option 4.**

**Option 5.** Decision makers recognize that the decision making process and outcomes can be managed.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(30) 1. Strategy e) Decision Making: 7. Is sufficient information gathered before decisions are made?**

**Preamble:** *Good decision making outcomes are very dependent on the information used to feed the decision making process.*

**Option 1.** Little or partial information is gathered to make and support decisions

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Large amounts of related and diverse information is gathered and analyzed in the decision making process

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(31) 1. Strategy e) Decision Making: 8. Are alternative options evaluated in the process of making important strategic decisions?**

**Preamble:** *Decisions can only be made if there are alternative choices to select from.*

**Option 1.** Only a few alternatives are identified and evaluated.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Many alternatives are identified and evaluated before a decision is made.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(32) 1. Strategy f) Risk: 1. Is risk accounted for in the development of strategy.

Preamble: *The choice of business and technology strategy is not a matter to be resolved by disparate staff functions, but is among the most important decisions of the organization.*

Option 1. Because strategy development follows no clearly defined process, there is no opportunity to build quality into decisions as they are being developed.

Option 2.

Option 3.

Option 4.

Option 5. Strategy development decisions follow a process that has discrete, identifiable phases, each designed to add quality to strategic decisions.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(33) 1. Strategy f) Risk: 2. Are there organized and structured teams in place to ensure development of quality strategy and the making of sound strategic decisions?

*Preamble: To achieve an intellectually correct decision, a process needs input from everyone who has something to contribute. This includes both people in the organization and selected outsiders (other divisions, customers, experts, and so forth).*

Option 1. Organization and team structure is not considered when attempting the development of strategic decisions.

Option 2.

Option 3.

Option 4.

Option 5. Strategy development participants are organized into two teams, a decision team and a strategy team. The decision team, sometimes called a steering committee or review board, is composed of individuals with sufficient stature and authority to make a decision.

Postscript: <Postscript>

Construct: <Construct>

Interview Notes:

Artifact Reference:

Scoring:

(34) 1. Strategy f) Risk: 3. Do the strategy team members have the experience and leadership skills necessary to ensure quality decision making?

**Preamble:** *Team participants are enlisted to the strategy development team for more limited roles, as advisors and helpers, as participants in key meetings, or as task force members. The core strategy team members are also effective leaders and know when to include extra participants.*

**Option 1.** Strategy team member selection is based on who might be available and as a result team members lack the necessary credibility to be effective.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** The strategy team members have a broad understanding of the issues, know where to go for information, and have high credibility in the organization.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(35) 1. Strategy f) Risk: 4. Does the decision making process follow a communication and dialogue process supported by senior management?

**Preamble:** *The Dialogue-Decision-Process (DDP) process is effective when the participants are dedicated to optimizing the decision at hand. Using the process does not guarantee that decisions will prove out in the long run. But it does increase the probabilities for success in favor of the organization.*

**Option 1.** A dialogue decision process is not mandated and therefore not clearly initiated.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** The dialogue -decision-process is chartered by the decision team selected by senior level management (CEO).

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(36) 1. Strategy f) Risk: 5. Are customer's desires sufficiently considered in the strategic decision making process?

**Preamble:** *The business looks beyond its own closed system and recognizes that there is a much larger, more complex system outside their corporate boundaries. The external system includes customers, suppliers, competitors, university technologists, regulators, and others.*

**Option 1.** The voice of the customer is not considered during assessment and development of strategic decisions.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** The assessment phase gains external understanding about customers' preferences

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(37) 1. Strategy f) Risk: 6. Is the executive level accountable for the strategic decisions made?

**Preamble:** *Informed discussions of the decision phase could not occur nor be productive had the DDP not already built the foundation of personal trust and the comprehensive shared understanding of the technical and business issues.*

**Option 1.** The executives avoid accountability for decisions proposed, and made, and tend to spin it for the top level leadership.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** The executives justify the decision to top management, the board, and the shareholders.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(38) 1. Strategy g) Resourcing: 1. Are skills and capabilities matched with the resource needs of strategy development and strategic planning?**

**Preamble:** *It is important that the right people with the right skills and knowledge be involved with the decision making process.*

**Option 1.** Little or no consideration is given to matching skill and capabilities with the resource needs.

**Option 2.** Some consideration is given to matching skill and capabilities with the resource needs. No formal inventory is kept; no formal matching process is defined. Skill and capability mismatch with needs is often a problem.

**Option 3.** Some consideration is given to matching skill and capabilities with the resource needs. No formal inventory is kept; no formal matching process is defined. Skill and capability mismatch with needs is seldom a problem.

**Option 4.**

**Option 5.** Formal methods are used to inventory skills and capabilities. Skill and capability requirements are identified as a part of defining work. Comprehensive resource planning is performed.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(39) 1. Strategy g) Resourcing: 2. Are the right resources made available (software, technical equipment and support needs) and aligned to meet the needs of strategy development and strategic planning?**

**Preamble: *Strategy development should include the technical strategic direction also and relevant resources should be available to the process.***

**Option 1. Little or no consideration is given to matching software and technical equipment and support needs with any special resource needs associated with strategy development.**

**Option 2.**

**Option 3. Some consideration is given to matching software and technical equipment and support needs with any special resource needs. Problems associated with shortfalls in software and technical equipment and support capability and availability are unusual.**

**Option 4.**

**Option 5. Due and timely consideration is given to matching software and technical equipment and support needs with any special resource needs. These needs are an integral part of the portfolio planning process and adequate funding and time is allotted to assure no**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(40) 1. Strategy g) Resourcing: 3. To what extent are outside resources used in the strategy development and strategic planning process?**

**Preamble: *It is possible and likely that external resources will need to be included in the strategy development process.***

**Option 1. No outside resources are used.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. The strategic planning process relies heavily on the use of outside resources.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(41) 1. Strategy g) Resourcing: 4. Do strategic plans appropriately address the resource requirements to plan and implement strategic goals?**

**Preamble: *The dialogue process continues through the planning phase to aid team members - building true understanding of the challenges and a strong commitment to making the strategy successful.***

**Option 1. Detailed strategic plans do not address the questions of outsourcing or acquisitions**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. The planning phase produces detailed implementation plans: business, functional and project plans, contingency plans.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(42) 1. Strategy h) Communication: 1. How do people within the organization communicate about risk and uncertainty?**

**Preamble:** *For decision makers, being able to communicate risk and uncertainty is an important skill set.*

**Option 1.** People do not have the skills and ability to communicate accurately about risk and uncertainty.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** People communicate accurately about risk and uncertainty.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(43) 1. Strategy h) Communication: 2. Are the needed communication systems are in place?**

**Preamble: <Preamble>**

**Option 1. Needed communication systems are not in place.**

**Option 2.**

**Option 3. Needed communication systems are place.**

**Option 4.**

**Option 5. Needed communication systems are in place and made clear to every employee.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(44) 1. Strategy h) Communication: 3. Are managers trained in communication skills?**

**Preamble:** <*Preamble*>

**Option 1.** Managers are not trained in communication skills.

**Option 2.**

**Option 3.** Managers are trained in basic communication skills.

**Option 4.**

**Option 5.** Managers are trained in communication skills.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(45) 1. Strategy h) Communication: 4. Are deviations from written orders and directives documented?**

**Preamble: <Preamble>**

**Option 1. Deviations from written orders and directives are not documented**

**Option 2.**

**Option 3. Deviations from written orders and directives are documented**

**Option 4.**

**Option 5. Deviations from written orders and directives are documented and distributed to all relevant employeesstakeholders.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(46) 1. Strategy h) Communication: 5. Does your organization support open communication across all levels?**

**Preamble: <Preamble>**

**Option 1. My organization does not support open communication across all levels.**

**Option 2.**

**Option 3. My organization does for the most part support open communication across all levels.**

**Option 4.**

**Option 5. My organization supports open communication across all levels.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(47) 2. Portfolio a) Environment: 1. Is portfolio management a supported effort?

**Preamble:** *Clear roles and responsibilities for portfolio management and portfolio environment stakeholders are important for effective portfolio management.*

**Option 1.** The portfolio management roles and processes are not supported across the greater environment in which they are executed.

**Option 2.** The portfolio management roles and processes are not supported by all organizational units.

**Option 3.** The portfolio management roles and processes are only supported to the extent that a particular portfolio management team can influence the broader environment.

**Option 4.** The portfolio management roles and processes are supported by organizational leadership..

**Option 5.** The portfolio management roles and processes are supported across the organization and the greater environment in which they are executed.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(48) 2. Portfolio a) Environment: 2. Do the portfolio management stakeholders work in unison?**

**Preamble:** *Good portfolio management, like project management, requires identifying the needs of the various stakeholders.*

**Option 1.** Stakeholders do not contribute to portfolio development and execution and do nothing to create a positive and productive environment.

**Option 2.**

**Option 3.** Stakeholders contribute to portfolio development and execution only under constant direction or pressure from organizational leadership.

**Option 4.**

**Option 5.** Stakeholders actively participate in portfolio development and execution and sustain a positive and productive environment.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(49) 2. Portfolio a) Environment: 3. The value of portfolio management is understood?

**Preamble:** *Portfolio management is the centralized management of one or more portfolios, which includes identifying, prioritizing, authorizing, managing and controlling projects, programs and other related work, to achieve specific business objectives.*

**Option 1.** The benefits of portfolio management and its value within the organizational environment is unknown.

**Option 2.** The benefits of portfolio management and its value to the organizational environment is unclear and inconsistently communicated by the organizational leadership.

**Option 3.** The benefits of portfolio management and its value to the organizational environment is communicated on high profile portfolios.

**Option 4.** The benefits of portfolio management and its value to the organizational environment is communicated clearly and consistently by portfolio management.

**Option 5.** The benefits of portfolio management and its value to the organizational environment is communicated clearly and consistently by the organizational leadership.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(50) 2. Portfolio a) Environment: 4. Is a portfolio management understood and respected within the organization?

Preamble: *Portfolio management is very involved with change and the effects of change.*

Option 1. Portfolio management is not understood at all which leads to little or no respect

Option 2.

Option 3. Portfolio management is somewhat understood within the organization

Option 4.

Option 5. The organizational culture is such that portfolio management is understood both by documentation and position within the organization

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(51) 2. Portfolio a) Environment: 5. Is portfolio management a valued and respected role?

Preamble: *The value associated with portfolio management's role can give an indication of how effective portfolio management can be.*

Option 1. The Portfolio manager position does not exist in the organization.

Option 2.

Option 3. Portfolio management is a recognized and valued skill set.

Option 4.

Option 5. The portfolio manager function is clearly understood and as a result it promotes value across the organizational

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

**(52) 2. Portfolio b) Management: 1. Does portfolio management have a formal and centralized management structure?**

**Preamble:** *Portfolio management achieves strategic goals by selecting, prioritizing, assessing and managing projects, programs and other related work based on alignment and contribution to the organization's strategies and objectives .*

**Option 1.** Portfolio Management lacks centralized management and therefore transparency across the portfolio.

**Option 2.**

**Option 3.** Portfolio Management is centralized, though not formal. Generally, portfolio management has limited authority.

**Option 4.**

**Option 5.** Portfolio Management is the key centralized management of one or more portfolios, with strong authority over the elements within its span of control.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(53) 2. Portfolio b) Management: 2. Does the organization use a formal portfolio management process?**

**Preamble: <Preamble>**

**Option 1. Portfolio Management is not utilized as a formal process.**

**Option 2.**

**Option 3. Portfolio management is used informally. It may be manifest along product lines, markets, regions or some other classification that would distinguish a portfolio.**

**Option 4.**

**Option 5. Portfolio Management is a formal process that helps and engages management in meeting organizational needs and expectations.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(54) 2. Portfolio b) Management: 3. Does portfolio management receive and/or communicate organisational strategic goals to ensure that portfolio components are aligned to achieve those goals?**

**Preamble: <Preamble>**

**Option 1. The organization's overall strategic goals and objectives are not passed along to or are not binding on the portfolio management function.**

**Option 2.**

**Option 3. The organization's overall strategic goals and objectives are communicated to the portfolio management function to ensure that components are aligned to achieve the organization's goals, but deviations can be initiated as a part of portfolio management.**

**Option 4.**

**Option 5. The organization's overall strategic goals and objectives are communicated to the portfolio management function to ensure shared understanding of the goals and that components are aligned to achieve the organization's goals.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(55) 2. Portfolio b) Management: 4. Does portfolio management revise the portfolio mix when disruptions to the organization and its goals occur?

**Preamble:** *Organizations and their portfolios are dynamic entities. Merger and acquisition activity or the entrance of a new competitor to the scene can cause disruption and changes to an organizational strategy and in turn impact the portfolio make-up.*

**Option 1.** Portfolio Management does not have the authority to revise the portfolio mix.

**Option 2.**

**Option 3.** Portfolio Management revises the portfolio mix as it determines required. Generally for major changes, concurrence must be obtained.

**Option 4.**

**Option 5.** Portfolio management has full authority to revise the portfolio mix.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(56) 2. Portfolio b) Management: 5. Does Portfolio Management play a key role in decision-making within programs?**

**Preamble: <Preamble>**

**Option 1. Portfolio management does not participate in decision making within programs or projects.**

**Option 2.**

**Option 3. Portfolio management participates informally decision making with programs and projects.**

**Option 4.**

**Option 5. Portfolio Management plays a key role in decision-making within programs**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(57) 2. Portfolio b) Management: 6. Does portfolio management review and manage the portfolio balance.**

**Preamble: <Preamble>**

**Option 1. Portfolio management does not review the portfolio for balance with relevant strategic stakeholders.**

**Option 2.**

**Option 3. Portfolio management periodically reviews the portfolio for balance (short-term versus long-term return, risk to benefit) and negotiate agreement's) with relevant strategic stakeholders (e.g., executive management operations and/or program management).**

**Option 4.**

**Option 5. Portfolio management reviews the portfolio for balance (short-term versus long-term return, risk to benefit) and negotiates agreement's) with relevant strategic stakeholders (e.g., executive management operations and/or program management).**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(58) 2. Portfolio c) Performance: 1. Is the portfolio planned and managed to align with higher level organizational goals and objectives.

Preamble: *Portfolio planning is where the top down organizational goals meet with the bottom up capabilities and available resources of the organization.*

Option 1. The alignment of portfolios to organizational goals does not occur.

Option 2.

Option 3.

Option 4.

Option 5. Portfolio performance is tightly coupled with organization strategic goals and performance is evaluated and adjusted to assure alignment.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(59) 2. Portfolio c) Performance: 2. Is portfolio performance measured?**

**Preamble:** *Performance can only be enhanced if it is measured, analyzed and acted upon.*

**Option 1.** Performance is not measured.

**Option 2.** Performance is measured for major components of the portfolio. Results are viewed from a portfolio perspective.

**Option 3.** Performance is measured for most components of the portfolio. Results are viewed from a portfolio perspective. Expected results are forecast and compared.

**Option 4.**

**Option 5.** Formal performance measures and systems are in place and results are evaluated and action taken at the portfolio level.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(60) 2. Portfolio c) Performance: 3. Are portfolio performance measures communicated to the organization?**

**Preamble: *Consistent metric definitions and measurement criteria are the framework within which performance can be studied.***

**Option 1. Performance results are communicated only at the level of the activity being measured.**

**Option 2.**

**Option 3. Portfolio performance is analyzed and published.**

**Option 4.**

**Option 5. Portfolio performance results are communicated at all levels of the organization where they can effect positive improvement.**

**Postscript: *<Postscript>***

**Construct: *<Construct>***

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(61) 2. Portfolio c) Performance: 4. Is action and follow-up activity based on the results of portfolio measurement?**

**Preamble:** *Performance observations and measurements can aid the development of performance enhancement tracks.*

**Option 1.** No action is taken based on performance measurement of portfolios.

**Option 2.** Action is taken in reaction to portfolio performance measures. Typically the focus is on individual portfolio components.

**Option 3.**

**Option 4.**

**Option 5.** Action is taken in reaction to portfolio performance measures. Focus is at the complete portfolio level

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(62) 2. Portfolio d) Governance: 1. Is a portfolio governing framework a key influence within the organization?**

**Preamble: <Preamble>**

**Option 1. Portfolio management is not used within the organization. No portfolio governance is in place.**

**Option 2.**

**Option 3. Portfolio governance is one of the more significant influences on operations within the organization.**

**Option 4.**

**Option 5. Portfolio management and its governing principles are an important influence on the organization. This would include a high degree of respect, decision significance, and impact on the organization.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(63) 2. Portfolio d) Governance: 2. How are the organization's goals and objectives governed?**

**Preamble: <Preamble>**

**Option 1. The organization strategic planning process should but does not define how strategic goals and objectives are governed.**

**Option 2.**

**Option 3. The organization strategic planning process defines for the most part how strategic goals and objectives are governed.**

**Option 4.**

**Option 5. The organization strategic planning process defines how strategic goals and objectives are governed.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(64) 2. Portfolio d) Governance: 3. Is it the responsibility of portfolio management to assure that the capabilities and capacity required to achieve the organization's strategy are addressed?**

**Preamble: <Preamble>**

**Option 1. Portfolio management does not provide or consider the capacity and capabilities required for achievement of the organization's strategy.**

**Option 2.**

**Option 3. Portfolio management provides capabilities for achievement of an organization's strategy.**

**Option 4.**

**Option 5. Portfolio management considers and provides the capabilities and capacity necessary to achieve the organization's strategy.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(65) 2. Portfolio d) Governance: 4. Is a portfolio governing body (or similar group) responsible for all aspects of the organization's portfolio decisions?

**Preamble:** *Governance is the act of creating and using a framework to align, organize and execute activities in a collectively coherent and intelligible manner in order to meet goals*

**Option 1.** The portfolio governing body recommends the framework, rules, and procedures for making portfolio decisions.

**Option 2.**

**Option 3.** The portfolio governing body, when used, dictates the framework, rules, and procedures for making portfolio decisions.

**Option 4.**

**Option 5.** The portfolio governing body dictates the framework, rules, and procedures for making portfolio decisions.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(66) 2. Portfolio d) Governance: 5. Does the right level of experienced management make up the portfolio governance team?**

**Preamble:** <*Preamble*>

**Option 1.** Portfolio governance boards tend to be made up by members selected because of their availability rather than because of their experience.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Portfolio governance boards are comprised of those individuals with the requisite knowledge and experience to discern the degree of alignment of strategy and organizational goals with portfolio components.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(67) 2. Portfolio d) Governance: 6. Is portfolio component (program, project) termination determined by criteria set by a portfolio governance model?

Preamble: <*Preamble*>

Option 1. Portfolio governance does not set the criteria for determining governance actions, such as deciding when projects/ programs should be terminated or suspended.

Option 2.

Option 3. Portfolio governance for the most part establishes the criteria for determining governance actions, such as deciding when projects/ programs should be terminated or suspended.

Option 4.

Option 5. Portfolio governance establishes the criteria for determining governance actions, such as deciding when projects/ programs should be terminated, suspended, or otherwise acted upon.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(68) 2. Portfolio d) Governance: 7. Does a portfolio governance framework define and provide the authority levels needed by portfolio management to make necessary decisions.**

**Preamble: <Preamble>**

**Option 1. Authority levels and decision making authority are not defined in the portfolio governing framework.**

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5. Authority levels and decision making authority are clearly defined in the portfolio governing framework.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(69) 2. Portfolio e) Decision Making: 1. Are there clear guidelines for making portfolio to strategic goal alignment decisions?

Preamble: *Clear guidelines and procedures by which portfolio decisions should be made will greatly improve how decision makers approach the task.*

Option 1. Portfolio decisions are made without organizational strategic guidance No consideration is given to alignment.

Option 2.

Option 3.

Option 4.

Option 5. Portfolio decision making processes are formal and documented. The strategic plan is the basis for guiding portfolio decisions. Strategic alignment is a prime consideration and portfolio decisions are evaluated and modified based on their relationship and

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(70) 2. Portfolio e) Decision Making: 2. To what extent do those responsible for the portfolio management processes participate in the strategic decision making process?

**Preamble:** *It is important that the right people be involved with the decision making process.*

**Option 1.** Strategic decision making is independent from the portfolio management process, with no shared responsibilities.

**Option 2.** There is some common responsibility in the two levels of decision making. The relationship is coincidental. The strategic decision making process informally considers portfolio issues.

**Option 3.** There is some common responsibility in the two levels of decision making. The relationship is formalized and defined. The strategic decision making process formally considers portfolio issues.

**Option 4.**

**Option 5.** Those responsible for portfolio management decisions also participate in the strategic decision making process. Responsibilities for each are clearly defined.

**Postscript:** <Postscript>

**Construct:** <Construct>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(71) 2. Portfolio e) Decision Making: 3. Are decision priority criteria regarding portfolio and portfolio component related decisions clearly defined?

**Preamble:** *Portfolios are made up of numerous components each of which will require attention and related decision making.*

**Option 1.** Decisions are made at the level where they are needed without regard for their impact on portfolio or concern for their alignment with portfolio strategies and issues.

**Option 2.** Some consideration is given to portfolio strategy and issues. The immediate decision takes precedence and the consequences are dealt with separately.

**Option 3.** Consideration is given to portfolio strategy and issues. The portfolio issues take precedence and the consequences are isolated to the point where the immediate decision is needed.

**Option 4.**

**Option 5.** Decisions are made in the best interest of the portfolio performance regardless of the impact to individual portfolio components.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(72) 2. Portfolio f) Risk: 1. How are portfolio priorities determined?

Preamble: *Portfolio components can be ranked within each strategic or funding category, investment time frame, risk versus return profile and organizational focus according to established criteria.*

Option 1. The portfolio components that receive priority and attention are largely personality driven.

Option 2.

Option 3. Portfolio components that receive priority and attention are decided by some type of portfolio comparative analysis.

Option 4.

Option 5. Priority ratings based on risk-to-value determine which portfolio components receive the highest priority within the portfolio.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(73) 2. Portfolio f) Risk: 2. Does portfolio management follow an agreed portfolio balancing process?**

**Preamble: *The portfolio make-up and delivery schedule should be assessed for risk to other portfolios and ongoing operations that may be affected before, during and after the portfolio execution.***

**Option 1. Portfolio Balancing is not applied by portfolio management.**

**Option 2.**

**Option 3. Application of a portfolio balancing is dependent on the portfolio projected ROI.**

**Option 4.**

**Option 5. Portfolio Balancing is an ongoing process with all active portfolios.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(74) 2. Portfolio f) Risk: 3. Does the portfolio balancing process take the organizations tolerance for risk into account?

**Preamble:** *Portfolio balancing develops the portfolio component mix with the greatest potential, to collectively support the organization's strategic initiatives, and achieve strategic objectives.*

**Option 1.** A desired organizational risk profile is not established nor are there predefined portfolio management criteria in place.

**Option 2.**

**Option 3.** Portfolios are balanced during an initial alignment process to support established strategic objectives using predefined portfolio management criteria to maximize portfolio return within a predefined desired organizational risk profile.

**Option 4.**

**Option 5.** Portfolios are balanced on an ongoing basis to support established strategic objectives using predefined portfolio management criteria to maximize portfolio return within a predefined desired organizational risk profile.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(75) 2. Portfolio f) Risk: 4. Does the organization support continuous improvement of the portfolio risk management process?

**Preamble:** *The portfolio management process can be adjusted during portfolio execution in accordance with organizational governance standards.*

**Option 1.** Portfolio risk management processes are not implemented.

**Option 2.**

**Option 3.** The effectiveness of the portfolio management process to address portfolio risk is assessed during the closing phase of the portfolio management process.

**Option 4.**

**Option 5.** The effectiveness of the portfolio management process to address portfolio risk is assessed at specified control points throughout the portfolio management process., and the process is improved using Six Sigma or similar techniques.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(76) 2. Portfolio f) Risk: 5. Are opportunity risks maximized?**

**Preamble:** *Risk can be threatening or opportunistic. The portfolio management processes account for all risk types.*

**Option 1.** Opportunity risks are not identified.

**Option 2.** The portfolio management balancing and prioritization sub processes identify, analyze and plan for opportunity risks.

**Option 3.** The portfolio management balancing and prioritization sub processes identify, analyze and plan for opportunity and threatening risks.

**Option 4.** Opportunity and threatening risk across the organization is dynamically assessed relative to the portfolio pipeline.

**Option 5.** Similarities and synergies between Portfolio components are exploited in order to leverage opportunity risk and for the portfolio to achieve its desired return as efficiently as possible.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(77) 2. Portfolio g) Resourcing: 1. Are resource skill and capability levels matched with the needs of the portfolio?

**Preamble:** *The portfolio planning process is the important work of aligning the resources to the strategic initiatives that have been chosen by the organizational leadership.*

**Option 1.** Little or no consideration is given to matching skill and capabilities with the portfolio needs.

**Option 2.** Some consideration is given to matching skill and capabilities with the resource needs. No formal inventory is kept; no formal matching process is defined. Skill and capability mismatch with needs is often a problem.

**Option 3.** Some consideration is given to matching skill and capabilities with the resource needs. No formal inventory is kept; no formal matching process is defined. Skill and capability mismatch with needs is seldom a problem.

**Option 4.**

**Option 5.** Formal methods are used to inventory skills and capabilities. Skill and capability requirements are identified as a part of defining work. Comprehensive resource planning is performed.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(78) 2. Portfolio g) Resourcing: 2. Are physical plant and facility needs identified and managed to support the organization's portfolio?**

**Preamble:** *The portfolio planning process deals with all resource requirements, human, financial, and material.*

**Option 1.** Physical plant and facility needs are not addressed as part of a portfolio resource planning process.

**Option 2.**

**Option 3.** Consideration is given to assuring physical plant and facility needs are planned and met., though the processes are informal.

**Option 4.**

**Option 5.** Formal methods and procedures are used to inventory physical plant and facility availability and requirements. An established function assures these resources are available as needed.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(79) 2. Portfolio g) Resourcing: 3. Are software, technical equipment, and support resources aligned with the resource needs of the portfolio?

Preamble: *The portfolio resource planning process is concerned with all resource requirements including human and technical capabilities.*

Option 1. Little or no consideration is given to matching software and technical equipment and support resources with the needs of the portfolio..

Option 2.

Option 3. Some consideration is given to matching software and technical equipment and support resources with the resource needs of the portfolio.

Option 4.

Option 5. Due and timely consideration is given to matching software, technical equipment, and support resources with the resource needs of the portfolio. Resource planning is an integral part of the portfolio planning process and adequate funding and time is allot

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(80) 2. Portfolio g) Resourcing: 4. Are resource decisions linked to ongoing portfolio management processes and decisions?**

**Preamble: *The right resources working on the right portfolio components is part of the ongoing portfolio management function.***

**Option 1. Resource decisions are considered only in the initial portfolio planning processes and not considered during the execution and ongoing portfolio management processes.**

**Option 2. There is some apparent relationship. Resources from discontinued or downscaled portfolio level activity are reallocated and resources can be obtained for unplanned or upgraded portfolio related activity. Resourcing problems are common.**

**Option 3. There is an apparent relationship. Resources from discontinued or downscaled portfolio level activity are reallocated and resources can be obtained for unplanned or upgraded portfolio related activity. Resourcing problems are uncommon.**

**Option 4.**

**Option 5. Portfolio management and resource management are tightly coupled throughout the life of the portfolio. Formal procedures ensure that resourcing decisions are effective.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(81) 2. Portfolio h) Communication: 1. Is there is a high level of trust between management and employees?**

**Preamble: <Preamble>**

**Option 1. There is a very low level of trust between management and employees.**

**Option 2.**

**Option 3. There is a level of trust between management and employees.**

**Option 4.**

**Option 5. There is a high level of trust between management and employees.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(82) 2. Portfolio h) Communication: 2. Is there is a high level of trust between or among departments?**

**Preamble: <Preamble>**

**Option 1. There is a very low level of trust between or among departments.**

**Option 2.**

**Option 3. There is a level of trust between or among departments.**

**Option 4.**

**Option 5. There is a high level of trust between or among departments.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(83) 3. Program a) Environment: 1. Does program management have the ability to accommodate change?

Preamble: *Resilient - The organization's ability to accommodate change.*

Option 1. Inability to accommodate change.

Option 2.

Option 3. Ability to accommodate change.

Option 4.

Option 5. High ability to accommodate change.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

**(84) 3. Program a) Environment: 2. What kind of communications capability, capacity, policy, and process exist?**

**Preamble: *Communications - Overall communications capability, capacity, policy, and procedure.***

**Option 1. Poor communications capability, capacity, policy, and process is a norm.**

**Option 2.**

**Option 3. Communications capability, capacity, policy, and process exists.**

**Option 4.**

**Option 5. Well defined, and documented communications capability, capacity, policy, and process exist.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(85) 3. Program a) Environment: 3. Does program mangement consider career and people development as part of the program mangement role?**

**Preamble: *People - Development of Individual knowledge and career development is a focus and activity.***

**Option 1. People development and career development is not considered by program management.**

**Option 2.**

**Option 3. People development and career development is a focus and activity.**

**Option 4.**

**Option 5. People development and career development is a clear focus and activity of program management and execution.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(86) 3. Program a) Environment: 4. Is there a tie in between communication and actions?**

**Preamble: *The organizational environment supports, nurtures and enables performance in the right way. Integrity - Consistency between communications and actions.***

**Option 1. The link between communications and actions is inconsistent.**

**Option 2.**

**Option 3. Consistency is present between communications and actions.**

**Option 4.**

**Option 5. High consistency is present between communications and actions.**

**Postscript: *<Postscript>***

**Construct: *<Construct>***

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(87) 3. Program a) Environment: 5. Are roles, responsibility, accountability and authority (RRAA) defined and aligned to support program performance?**

**Preamble: *RRAA - Roles Responsibility Accountability Authority.***

**Option 1. Roles, responsibility, accountability and authority (RRAA) are poorly defined and poorly aligned to programs needs.**

**Option 2.**

**Option 3. Roles, responsibility, accountability and authority (RRAA) are defined and aligned to support program performance on certain programs.**

**Option 4.**

**Option 5. Roles, responsibility, accountability and authority (RRAA) are well defined and aligned to support all programs and their performance.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(88) 3. Program b) Management: 1. Is program management recognized as a formal discipline?**

**Preamble: <Preamble>**

**Option 1. Program management is not recognized as a discipline**

**Option 2.**

**Option 3. Program management is recognized as a discipline in some areas of the organization**

**Option 4.**

**Option 5. Program management is recognized, accepted and implemented.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(89) 3. Program b) Management: 2. Is program management involved with strategy and portfolio definition?**

**Preamble: <Preamble>**

**Option 1. Program management is not involved with strategy and portfolio definition**

**Option 2.**

**Option 3. Program management is somewhat involved with strategy and portfolio definition**

**Option 4.**

**Option 5. Program management is involved with strategy and portfolio definition to the level necessary to build robust strategy to portfolio alignment.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(90) 3. Program b) Management: 3. Does program management have requisite authority over relevant components within portfolio scope?**

**Preamble:** *Requisite authority is that authority necessary to perform in the role and be justly held accountable for that which one is responsible.*

**Option 1.** Program management does not have requisite authority over relevant work within portfolio scope

**Option 2.**

**Option 3.** Program management has some authority over relevant work within portfolio scope

**Option 4.**

**Option 5.** Program management has requisite authority over relevant work within portfolio scope

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(91) 3. Program b) Management: 4. Does program management include a strategic plan (vision, mission statement)?

Preamble: <*Preamble*>

Option 1. Program management does not include a strategic plan which typically includes a vision and a mission statement, a description of the organization's long-term goals, objectives, and means by which the organization should but does not plan to use to achieve

Option 2.

Option 3. Program management's strategic plan typically includes a vision and a mission statement, a description of the organization's long-term goals, objectives, and means by which the organization plans to use to achieve these general goals and objectives.

Option 4.

Option 5. Program management's strategic plan includes a vision and a mission statement, a description of the organization's long-term goals, objectives, and means by which the organization uses to achieve these general goals and objectives.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(92) 3. Program b) Management: 5. Are programs adequately funded?**

**Preamble:** *Funded- A sum of money or other resources set aside for a specific purpose.*

**Option 1. Programs are not Adequately funded**

**Option 2.**

**Option 3. Programs are adequately funded only when planned well which is only on important programs.**

**Option 4.**

**Option 5. Programs are well planned and adequately funded**

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(93) 3. Program b) Management: 6. Are independent audits conducted and is program management held accountable to a standard?**

**Preamble: <Preamble>**

**Option 1. No evidence of a Independently Audited (Accountable to a Standard)**

**Option 2. Programs typically have to use management reserve**

**Option 3. Some evidence indicates there is Independently Audited (Accountable to a Standard) activity**

**Option 4.**

**Option 5. Yes, independently Audited (Accountable to a Standard)**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(94) 3. Program b) Management: 7. Is program management involved with annual budgeting and capacity planning?**

**Preamble: <Preamble>**

**Option 1. Program management is not involved with annual budgeting and capacity planning**

**Option 2.**

**Option 3. Program management monitors the annual budgeting and capacity planning activities**

**Option 4.**

**Option 5. Program management plays a key role in annual budgeting and capacity planning.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(95) 3. Program c) Performance: 1. Are program performance standards established?**

**Preamble:** *Standards are educational and pragmatic tools that enable the organization to get a handle on its current performance level and define a desired state.*

**Option 1.** Program performance standards are not in place

**Option 2.**

**Option 3.** Performance are under development. Attempts are made however to analyze program performance.

**Option 4.**

**Option 5.** Well defined program performance standards are in place. Program performance is consistently measured and analyzed.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(96) 3. Program c) Performance: 2. Are program management competency standards established that can educate and develop program management performance ability?**

**Preamble: *Standards are educational and pragmatic tools that enable the organization to get a handle on its current performance level and define a desired state.***

**Option 1. P program mangement competency standards do not exist**

**Option 2.**

**Option 3. Competency standards exist but are nod widely utilized.**

**Option 4.**

**Option 5. Comprehensive program mangement competency standards are utilized and updated.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(97) 3. Program c) Performance: 3. Are program management success criteria clearly defined?**

**Preamble:** *Success criteria can be quantitative or qualitative.*

**Option 1.** No indication of defined success criteria

**Option 2.** A few success criteria are defined.

**Option 3.** Major success criteria are defined. Definitions are clear.

**Option 4.**

**Option 5.** Comprehensive and clearly defined success criteria are available

**Postscript:** *<Postscript>*

**Construct:** *To score a 5, there must be quantitative success criteria. In place.*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(98) 3. Program c) Performance: 4. Is program performance measured?**

**Preamble:** *In order to improve performance, the organization must measure its program planning and delivery capability over time.*

**Option 1.** Program performance is not measured.

**Option 2.** Standing or common measures are used

**Option 3.** In addition to standing measures, managers can define their own measurement requirements

**Option 4.**

**Option 5.** Program performance measurement is comprehensive.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(99) 3. Program c) Performance: 5. Is mentoring and coaching of program managers utilized to enhance program performance?**

**Preamble:** *Training and educational programs are very important to program management competency but coaching and mentoring beyond educational training are crucial when performance enhancement is the goal.*

**Option 1.** No mentoring / coaching

**Option 2.** Informal mentoring / coaching exists

**Option 3.** A formal mentoring /coaching is provided but not held to any standards of achievement.

**Option 4.**

**Option 5.** Comprehensive performance based mentoring / coaching is provided.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(100) 3. Program d) Governance: 1. Does program governance facilitate program performance?**

**Preamble: <Preamble>**

**Option 1. Program governance is weak and does not facilitate program performance.**

**Option 2.**

**Option 3. Program governance is effective at facilitating program performance when it is applied correctly.**

**Option 4.**

**Option 5. Program governance is a robust framework that enhances program performance and the realization of program benefits.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(101) 3. Program d) Governance: 2. Does program management have the ability to accommodate Diversity (Different types of Programs)?

Preamble: <*Preamble*>

Option 1. Inability to accommodate variety.

Option 2.

Option 3. Some ability to accommodate variety.

Option 4.

Option 5. High ability to accommodate variety.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(102) 3. Program d) Governance: 3. Does program mangement have the ability to accommodate change?

Preamble: <*Preamble*>

Option 1. Inability to accommodate change.

Option 2.

Option 3. Some ability to accommodate change.

Option 4.

Option 5. High ability to accommodate change.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(103) 3. Program d) Governance: 4. Are roles, responsibility, accountability, and authority (RRAA) defined and aligned to support program performance?

Preamble: <*Preamble*>

Option 1. Roles ,responsibility, accountability and authority (RRAA) are poorly defined and do not support program performance.

Option 2.

Option 3. Roles ,responsibility, accountability and authority (RRAA) are defined and aligned in support of major programs.

Option 4.

Option 5. Roles ,responsibility, accountability and authority (RRAA) are clearly defined and aligned in support of all program performance and benefit realization.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(104) 3. Program d) Governance: 5. Does the program governance framework dictate the use of teams and teaming principles to accomplish work?

Preamble: <*Preamble*>

Option 1. Program governance does not address team structures and teaming principles.

Option 2.

Option 3. Program governance for large programs specifies the importance of teams and teaming principles.

Option 4.

Option 5. The program governance model clearly sets out the importance of teams and teaming principles to program benefit realization. The governance framework provides guidelines for the application of teams and teaming principles.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(105) 3. Program d) Governance: 6. Do the program governance guidelines define the performance expectations and performance facilitation methods?

Preamble: <*Preamble*>

Option 1. Program governance does not address program performance guidelines.

Option 2.

Option 3. Some Performance (good or bad) is measured, acknowledged and encouraged or discouraged.

Option 4.

Option 5. The program governance model clearly outlines program performance expectations, the methods to facilitate program performance, and the guidelines for measuring and analyzing program performance.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(106) 3. Program e) Decision Making: 1. Does program management have and utilize a decision making process?

Preamble: *Decision making is in fact a process and as such, can be standardized, measured and improved upon.*

Option 1. No evidence of a comprehensive decision making process is in place.

Option 2.

Option 3. An informal decision making process is used.

Option 4.

Option 5. A comprehensive decision making process is documented and in place.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(107) 3. Program e) Decision Making: 2. Does the program management decision making process include a comprehensive decision evaluation phase?

Preamble: *Making decisions is difficult and can stall if the decision makers do not have an appropriate level of evaluation data to inform their process.*

Option 1. No evidence of a comprehensive decision evaluation process is in place.

Option 2.

Option 3. An informal decision evaluation process is used.

Option 4.

Option 5. A comprehensive decision evaluation process with clear deliverables is in place.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(108) 3. Program e) Decision Making: 3. Are decision making tools and analysis techniques used?**

**Preamble:** *Various quantitative and qualitative tools and analytical models are useful to informing the decision making process.*

**Option 1.** No tools are used.

**Option 2.**

**Option 3.** Some tools and analysis techniques are used. These can and do influence decisions.

**Option 4.**

**Option 5.** A comprehensive set of tools and analysis techniques are used. They significantly influence decisions.

**Postscript:** *<Postscript>*

**Construct:** *Often a departure from the tool / analysis results would have to be formally justified to score high.*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(109) 3. Program e) Decision Making: 4. Is decision making authority, accountability and responsibility aligned?

Preamble: *Congruency would also be synonymous with alignment. It means a person is in control of that for which they are held responsible and accountable.*

Option 1. None of the elements are usually aligned

Option 2. At most 2 out of the 3 typically align.

Option 3. All three align, but are usually not at the appropriate organization level for the decision made.

Option 4.

Option 5. All three align, and decisions are made at the appropriate organization level for the decision made.

Postscript: <Postscript>

Construct: <Construct>

Interview Notes:

Artifact Reference:

Scoring:

**(110) 3. Program e) Decision Making: 5. Is a decision making process in place?**

**Preamble: <Preamble>**

**Option 1. No evidence of a comprehensive decision making process is in place.**

**Option 2.**

**Option 3. An informal decision making process is used.**

**Option 4.**

**Option 5. A comprehensive decision making process is in place.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(111) 3. Program f) Risk: 1. Is program level risk management performed?**

**Preamble:** *Looks for a higher level perspective on risk management than at the project or operating level.*

**Option 1.** Program management does not use a risk management process.

**Option 2.**

**Option 3.** Risk management procedures are used on most Programs

**Option 4.**

**Option 5.** Program risk management processes are defined and performed on all programs.

**Postscript:** *<Postscript>*

**Construct:** *Look for a risk profile, review, plan, escalation, avoidance, mitigation, assignment of responsibility.*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(112) 3. Program f) Risk: 2. Is program level risk avoidance performed?

Preamble: *Avoidance - deliberately avoiding; keeping away from or preventing from happening.*

Option 1. Program management does not employ risk avoidance.

Option 2.

Option 3. Risk avoidance is employed on most Programs

Option 4.

Option 5. Risk avoidance is performed on all programs.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(113) 3. Program f) Risk: 3. Is risk planning performed across multiple projects?

Preamble: *Looks for elevation of common risks above the projects where they are important.*

Option 1. No clear indication of risk planning across multiple projects

Option 2.

Option 3. Risk planning across most programs.

Option 4.

Option 5. Risk planning is performed across multiple projects.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(114) 3. Program f) Risk: 4. Are risk monitoring and control processes effectively utilized?

Preamble: <*Preamble*>

Option 1. Risk Identification, Monitoring, and Control is not an on-going process.

Option 2.

Option 3. Risk identification, monitoring, and control is only addressed sporadically throughout a program

Option 4.

Option 5. Risk identification, monitoring, and control is an on-going process.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(115) 3. Program f) Risk: 5. Is contingency planning a part of the program plan?

Preamble: <*Preamble*>

Option 1. Contingency planning (management reserve) does not exist.

Option 2.

Option 3. Contingency Planning (management. Reserve) is addressed

Option 4.

Option 5. Contingency Planning (management. Reserve) is clearly addressed as part of the program plan

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(116) 3. Program g) Resourcing: 1. Who most strongly influences resourcing decisions at the program level?

Preamble: *Good program management works to accomplish the portfolio demands within the constraints of the available resources.*

Option 1. Program managers have little or no say or input into the process of acquiring resources.

Option 2. Program managers have input into the process of acquiring resources but little influence on the decisions.

Option 3. Program managers have input into the process of acquiring resources and some influence on the decisions.

Option 4.

Option 5. Program managers have considerable say and input into the process of acquiring resources.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(117) 3. Program g) Resourcing: 2. Are adequate resources generally made available to the program?

Preamble: *The program management function must work to ensure adequate resourcing of the projects within the program.*

Option 1. No, inadequate resources are the rule.

Option 2. Having adequate resources is sometimes an issue.

Option 3. Having adequate resources is seldom an issue.

Option 4.

Option 5. Adequate resources are always planned for and made available to all programs..

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

**(118) 3. Program g) Resourcing: 3. Is resource allocation timely?**

**Preamble:** *Efficient and timely resource planning and implementation is very important to the program performance.*

**Option 1.** Appropriate resources are seldom or never made available when needed

**Option 2.** Little flexibility is present in obtaining appropriate resources when needed.

**Option 3.** Appropriate resources can usually be made available when needed, but improvement is possible.

**Option 4.**

**Option 5.** Appropriate resources are always made available to programs when they are needed

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(119) 3. Program g) Resourcing: 4. Are resource contingencies and management reserves adequately planned for at the program level?**

**Preamble:** *On certain programs, it is important to identify critical resources and develop mitigation plans in case these resources become unavailable.*

**Option 1.** Contingency and management reserves are not planned for.

**Option 2.** Adequate contingency and management reserves are often an issue.

**Option 3.** Adequate contingency and management reserves are seldom an issue.

**Option 4.**

**Option 5.** Adequate contingency plans and management reserves are developed and available for programs.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(120) 3. Program g) Resourcing: 5. Are resources efficiently allocated across programs?

**Preamble:** *As with portfolio, the program resource planning and management function must seek to optimize the overall performance and quality of the program goals through efficient use of the available resources.*

**Option 1.** Resources are not allocated to optimize their use across the program.

**Option 2.**

**Option 3.** Program resources are for the most part allocated across programs ensuring that they are not overcommitted.

**Option 4.**

**Option 5.** Resources are allocated to optimize their use across a program.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(121) 3. Program h) Communication: 1. Does program management communicate relevant information about program events and conditions to the relevant stakeholders?**

**Preamble: <Preamble>**

**Option 1. Program management never communicates information about program events and conditions to the necessary stakeholders.**

**Option 2.**

**Option 3. Management for the most part communicates information about events and conditions to the workforce.**

**Option 4.**

**Option 5. Program management has a well documented communication plan and effectively communicates relevant information regarding program events and conditions to the program stakeholders.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

**(122) 3. Program h) Communication: 2. Are program team members able to raise grievances and have them addressed by program management?**

**Preamble: <Preamble>**

**Option 1. Program team members are not able to raise grievances and are mostly ignored by program management.**

**Option 2.**

**Option 3. Program team members can raise their grievances to program management.**

**Option 4.**

**Option 5. Program team members are able to raise grievances and have them addressed by the management levels necessary.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(123) 3. Program h) Communication: 3. Do individuals work with each other to develop effective means of communicating information?

Preamble: <*Preamble*>

Option 1. Team members do not work with each other to develop more effective means of communicating information.

Option 2.

Option 3. Individuals from the program teams work with each other to develop effective means of communicating information.

Option 4.

Option 5. Team members work very well with each other to develop more effective means of communicating information.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(124) 3. Program h) Communication: 4. Does program management have a clear communications process defined as part of the program plan?

Preamble: <*Preamble*>

Option 1. A program communication plan does not typically exist.

Option 2.

Option 3. The program communications process is high level and defaults the responsibility of communication to the program manager.

Option 4.

Option 5. A detailed communication plan is a part of every program plan. The communication plan defines the tools, processes and roles of people who will be responsible for program communication to all stakeholders.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(125) 3. Program h) Communication: 5. Are the orders, directives and other communications that we "work from" written?

Preamble: <*Preamble*>

Option 1. Orders, directives and other communications that we "work from" are not written down.

Option 2.

Option 3. Orders, directives and other communications that we "work from" are written.

Option 4.

Option 5. Orders, directives and other communications that we "work from" are documented.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(126) 4. Project a) Environment: 1. Are project management procedures flexible and accomodating to a variety of project types?

Preamble: <*Preamble*>

Option 1. Project management processes are rigid and cannot accommodate variety.

Option 2.

Option 3. Project management processes are somewhat adaptable across apecific types of projects.

Option 4.

Option 5. The project management processes are a guideline to inform and enhance the successful management of all projects.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(127) 4. Project a) Environment: 2. Does project management have the ability to accommodate changes in the project environment?

Preamble: <*Preamble*>

Option 1. No clear processes are in place for managing project impact from environmental changes.

Option 2.

Option 3. Environmental changes are addressed only on large and important projects.

Option 4.

Option 5. There are clear processes in place for all projects that deal with environmental changes. Disaster recovery plans are developed and published.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(128) 4. Project a) Environment: 3. How does the project management role support a high performance environment?

Preamble: <*Preamble*>

Option 1. Project management is unclear about its role and how it could contribute to a high performance environment

Option 2.

Option 3. Project management is valued by some organizational units more than others.

Option 4.

Option 5. Project management is a respected and valued role and is promoted by organizational leadership to encourage talented individuals to pursue it as a career path. The growth of a highly effective project management culture is recognized as a major contributor

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(129) 4. Project a) Environment: 4. Are project roles, responsibility, accountability and authority (RRAA) defined and aligned to support a high performance environment?

Preamble: <*Preamble*>

Option 1. Roles, responsibility, accountability, and authority (RRAA) are neither defined nor aligned with any performance criteria.

Option 2.

Option 3. Roles, responsibility, accountability, and authority (RRAA) are defined and aligned to support specific project performance criteria.

Option 4.

Option 5. Roles, responsibility, accountability, and authority (RRAA) are clearly defined and aligned against a set of project and organizational performance mandates to encourage ongoing development of a high performance environment.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(130) 4. Project a) Environment: 5. Does the work place support and/or is it enhanced to enable high performance?

Preamble: <*Preamble*>

Option 1. The work place does not support nor is it enhanced to enable high project performance.

Option 2.

Option 3. The work place supports project performance for major projects.

Option 4.

Option 5. The work place is continually enhanced to support high performance project teams.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(131) 4. Project b) Management: 1. Is project management a recognized and formal discipline?

Preamble: <*Preamble*>

Option 1. Project management is not recognized as a discipline. Project managers, if assigned, are not accountable for how the project is managed, but are for the results.

Option 2.

Option 3. Project management is a recognized discipline. Project management is not recognized as a career path.

Option 4.

Option 5. Project management is a recognized discipline. Minimum requirements are established for selecting project managers. Project managers are audited on how the project is managed. Project management is a recognized and sought after career path.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(132) 4. Project b) Management: 2. Does the project manager have requisite authority over its scope of work?

Preamble: *Requisite authority is that authority necessary to perform in the role being justly held accountable for that which one is responsible.*

Option 1. Project management does not have requisite authority over its scope of work.

Option 2.

Option 3. Project management has some authority over its scope of work

Option 4.

Option 5. Project management has requisite authority over all relevant and necessary work to successfully deliver upon its determined project scope.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(133) 4. Project b) Management: 3. Are project managers involved with the development of portfolio and program management level decisions?

Preamble: <*Preamble*>

Option 1. Project managers are not involved with program and portfolio level decisions

Option 2.

Option 3. Project managers are somewhat involved with program and portfolio definition. Project managers have input as needed ..

Option 4.

Option 5. Project managers are involved with program and portfolio definition. Project managers are participating members of these teams.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(134) 4. Project b) Management: 4. Are projects adequately funded??

Preamble: <*Preamble*>

Option 1. Projects generally are not adequately funded.

Option 2.

Option 3. Projects generally are adequately funded. Scope would most likely be adjusted to correct discrepancies.

Option 4.

Option 5. Projects generally are adequately funded. Funding would most likely be adjusted to assure scope was met.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(135) 4. Project b) Management: 5. To what extent do project managers and project teams participate in the budget process?

Preamble: <*Preamble*>

Option 1. Project budgets are dictated without input from the project teams.

Option 2.

Option 3. Project teams can provide some input to the budget process or feedback on dictated budgets. Their inputs can influence the process.

Option 4.

Option 5. Project teams fully participate in the budget process. Often, project teams can reject a proposed budget, and it will be re-evaluated.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(136) 4. Project b) Management: 6. Are project management practices reviewed?

Preamble: <*Preamble*>

Option 1. Project management practices are not reviewed or updated..

Option 2.

Option 3. Project management practices are periodically reviewed but rarely updated.

Option 4.

Option 5. Project management practices are routinely reviewed and audited against formal standards and guidelines.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(137) 4. Project b) Management: 7. How well do project managers manage their project stakeholders?

**Preamble:** *A stakeholder is anyone with an interest in and/or an influence on the outcome of the project.*

**Option 1.** Project manager functions do not include stakeholder management.

**Option 2.**

**Option 3.** Project management includes some stakeholder management. Project managers are directed as to which stakeholders they can or cannot manage.

**Option 4.**

**Option 5.** Project managers are responsible for the management of project stakeholders and have well defined guidelines to assist them in this effort.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(138) 4. Project c) Performance: 1. Are documented project management standards in place ?

Preamble: *Standards provide a means to educate project managers and encourage a consistent basis for project performance.*

Option 1. No evidence of standards

Option 2.

Option 3. Standards are obtainable

Option 4.

Option 5. Clearly agreed upon and documented standards are in use.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(139) 4. Project c) Performance: 2. Are project manager competency standards documented and used?

Preamble: *Competency - the quality of being adequately or well qualified physically and intellectually*

Option 1. No evidence of competency standards.

Option 2.

Option 3. Documented competency standards are available but rarely reviewed.

Option 4.

Option 5. Clearly documented competency standards are in place and utilized.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(140) 4. Project c) Performance: 3. Are there project performance standards in place?

Preamble: *Standards provide a means to educate project managers and encourage a consistent basis for project performance.*

Option 1. There are no performance standards in place

Option 2.

Option 3. Performance standards are available and reviewed when taking on on major projects.

Option 4.

Option 5. Performance standards in placeThey are audited and updated regularly to ensure that best practice is observed.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(141) 4. Project c) Performance: 4. Are project success criteria defined and documented?

Preamble: *Criteria- A standard, rule, or test on which a judgment or decision can be based*

Option 1. No indication of defined success criteria

Option 2.

Option 3. Defined success criteria

Option 4.

Option 5. Clearly defined success criteria are in place

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(142) 4. Project c) Performance: 5. Is project performance measured?

Preamble: *Performance- The act of performing or the state of being performed*

Option 1. No evidence of a comprehensively measured project performance.

Option 2.

Option 3. Measured project performance.

Option 4.

Option 5. Comprehensively measured project performance.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(143) 4. Project c) Performance: 6. Is the variation in project(s) performance measured and analyzed?

Preamble: *Variation- The extent or degree to which something varies*

Option 1. Comparative performance analysis across different projects is not carried out.

Option 2.

Option 3. Comparative performance analysis across different projects is performed on certain types of projects only.

Option 4.

Option 5. Comparative performance analysis across different projects is regularly performed

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(144) 4. Project c) Performance: 7. Is there a career path for project managers?

**Preamble:** *Career- The general course or progression of one's working life or one's professional achievements*

**Option 1.** Project management is not a defined and recognized career path.

**Option 2.**

**Option 3.** Project management is a defined career path but not actively sought after.

**Option 4.**

**Option 5.** Project management is a highly visible and sought after career path. Its value is well understood by organizational leadership and remuneration for the position is competitive and attractive.

**Postscript:** *<Postscript>*

**Construct:** *<Construct>*

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(145) 4. Project c) Performance: 8. Is mentoring and coaching of project team members addressed as part of project management plans?

Preamble: *Mentoring- To serve as a trusted counselor or teacher, especially in occupational settings*

Option 1. No. Project management planning does not consider the coaching and mentoring of project team members.

Option 2.

Option 3. Project planning addresses coaching and mentoring opportunities on low risk projects only.

Option 4.

Option 5. Projects are recognized as unique, adaptive opportunities in which team members can be significantly developed across a multitude of skills and disciplines through effective coaching and mentoring.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(146) 4. Project d) Governance: 1. Are project roles, responsibility, accountability, and authority (RRAA) defined and aligned to support project performance?

Preamble: <*Preamble*>

Option 1. Roles, responsibility, accountability, and authority (RRAA) are poorly defined and unrelated to any performance criteria or expectations.

Option 2.

Option 3. Some evidence of exist on roles responsibility accountability authority (RRAA) are defined and aligned to support performance.

Option 4.

Option 5. Roles, responsibility, accountability, and authority (RRAA) are well defined and clearly related to specified performance criteria and project expectations.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

**(147) 4. Project d) Governance: 2. Does project governance facilitate and support high project performance?**

**Preamble: <Preamble>**

**Option 1. Project governance does not address performance of projects**

**Option 2.**

**Option 3. Project governance speaks to the facilitation of performance enhancement but it is usually only considered when a major project is taken on.**

**Option 4.**

**Option 5. Project governance guidelines define methods and procedures to enhance all aspects of project performance. These include but are not limited to, project decision making, conflict resolution, etc. These governing guidelines are employed and tailored to all**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(148) 4. Project d) Governance: 3. Is project governance consistent in its communications, actions, professed values and beliefs?

Preamble: *Values- the principles, standards, or quality which guides human actions*

Option 1. Project management is inconsistent and adhoc.

Option 2.

Option 3. There is consistency between communications and professed values and beliefs on major projects.

Option 4.

Option 5. There is consistency between communications and professed values and beliefs.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(149) 4. Project d) Governance: 4. Does project governance make use of teams and teaming principles to accomplish work?

**Preamble:** *Team- comprises any group of people linked in a common purpose. A group in itself does not necessarily constitute a team. There are however many components that make up a team like manager and agents*

**Option 1.** Teams and teaming principles are not effectively employed for project work.

**Option 2.**

**Option 3.** Some use of teams and teaming principles to accomplish project work is evident.

**Option 4.**

**Option 5.** Extensive use of teams and teaming principles is employed to accomplish project work.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(150) 4. Project e) Decision Making: 1. Does project management have/utilize a decision making process?

Preamble: *Decision making- the cognitive process leading to the selection of a course of action among alternatives.*

Option 1. No evidence of a comprehensive decision making process is in place.

Option 2.

Option 3. A plan for a comprehensive decision making process is in place.

Option 4.

Option 5. A comprehensive decision making process is in place and employed on all projects.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(151) 4. Project e) Decision Making: 2. Does project management include a comprehensive decision evaluation process?

Preamble: *Making decisions is difficult and can stall if the decision makers do not have an appropriate level of evaluation to draw upon.*

Option 1. No evidence of a comprehensive decision evaluation process is in place.

Option 2.

Option 3. A plan for a comprehensive decision evaluation process is in place.

Option 4.

Option 5. A comprehensive decision evaluation process is in place and used on all projects.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(152) 4. Project f) Risk: 1. Is project risk management performed?

Preamble: *Mitigation- the act of decreasing or reducing something.*

Option 1. Project level risk mitigation is not employed.

Option 2.

Option 3. Risk mitigation is performed on major projects.

Option 4.

Option 5. Risk mitigation is performed on all projects.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(153) 4. Project f) Risk: 2. Is project risk avoidance performed?

Preamble: *Avoidance - deliberately avoiding; keeping away from or preventing from happening.*

Option 1. Risk and risk avoidance is not considered.

Option 2.

Option 3. Risk avoidance is considered on major projects.

Option 4.

Option 5. Risk avoidance is addressed on all projects.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(154) 4. Project f) Risk: 3. Is risk planning and analysis performed on all projects?

Preamble: *Planning- A scheme, program, or method worked out beforehand for the accomplishment of an objective*

Option 1. Risk planning and its various techniques are not used as part of project planning procedures.

Option 2.

Option 3. Risk planning is employed on big projects that are known to have major risk implications.

Option 4.

Option 5. Risk planning is performed on all projects.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(155) 4. Project f) Risk: 4. Are risk monitoring and control processes used throughout the project controlling cycle?

Preamble: *Processes - A series of actions, changes, or functions bringing about a result*

Option 1. Project management does not employ risk monitoring and control procedures.

Option 2.

Option 3. Project management implements standard risk monitoring and control procedures.on the bigger projects..

Option 4.

Option 5. Project management implements standard risk monitoring and control procedures.on all projects..

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(156) 4. Project f) Risk: 5. Is a contingency plan included as part of the project plan?

Preamble: *Contingency- An event that may occur but that is not likely or intended; a possibility*

Option 1. Contingency planning (management. reserve) does not exist

Option 2.

Option 3. Contingency planning (management. reserve) is addressed in the project plan of major projects.

Option 4.

Option 5. Contingency planning (management reserve) is a part of every project planning phase and included in the project plan.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(157) 4. Project g) Resourcing: 1. Is there an identified resource management role?

**Preamble:** *Resource management responsibility can belong to the project management role or the functional management role, depending on the structure of the organization.*

**Option 1.** Resource management is not an identified role.

**Option 2.**

**Option 3.**

**Option 4.**

**Option 5.** Resource management is identified as an important role and has a well defined career path.

**Postscript:** <*Postscript*>

**Construct:** <*Construct*>

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(158) 4. Project g) Resourcing: 2. How effective is the process of allocating resources to project activities?

Preamble: *Project resource management is the important work of ensuring that the right resources are assigned to and performing the appropriate tasks.*

Option 1. Allocation of resources is not effectively managed.

Option 2.

Option 3. Allocation of resources is effective on the more important projects.

Option 4.

Option 5. Allocation of resources to projects is efficient and consistently controlled by a project management office.

Postscript: *<Postscript>*

Construct: *<Construct>*

Interview Notes:

Artifact Reference:

Scoring:

(159) 4. Project g) Resourcing: 3. Are resources allocated to projects in a realistic way that considers the needs of the human resources?

Preamble: *Efficiency and optimization of resources is important to project performance and delivery but the human needs of the resources must be considered.*

Option 1. Allocation of resources is not realistic and does not take the needs of the human resources into consideration.

Option 2.

Option 3. Allocation of resources is realistic for most projects.

Option 4.

Option 5. Resources are allocated to project work with consideration given to the human resource needs as well as project performance.

Postscript: <Postscript>

Construct: <Construct>

Interview Notes:

Artifact Reference:

Scoring:

**(160) 4. Project h) Communication: 1. Are project performance problems discussed and resolved with the appropriate individuals or groups?**

**Preamble: <Preamble>**

**Option 1. If performance problems occur, they are seldom discussed with the appropriate individuals and group.**

**Option 2.**

**Option 3. If performance problems occur, they are reported to the appropriate individuals or groups.**

**Option 4.**

**Option 5. If performance problems occur, they are discussed with the appropriate individuals and/or group.**

**Postscript: <Postscript>**

**Construct: <Construct>**

**Interview Notes:**

**Artifact Reference:**

**Scoring:**

(161) 4. Project h) Communication: 2. Does line management maintain ongoing involvement with subordinates performing project work?

Preamble: <*Preamble*>

Option 1. Line management does not get involved with its workers who are dedicated to project work.

Option 2.

Option 3. Some line managers stay involved with subordinates performing project work

Option 4.

Option 5. Line management maintains ongoing involvement with employees performing project work.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(162) 4. Project h) Communication: 3. Are your organization's goals and objectives communicated to and understood by the project teams?

Preamble: <*Preamble*>

Option 1. My organization's goals and objectives are never communicated to and understood by the project teams.

Option 2.

Option 3. My organization's goals and objectives are communicated to and understood by the project teams.

Option 4.

Option 5. My organization's goals and objectives are communicated to and clearly understood by the project teams.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring:

(163) 4. Project h) Communication: 4. Do the project managers in your organization communicate and collaborate effectively and responsibly with project managers of related projects?

Preamble: <*Preamble*>

Option 1. The project managers in my organization do not communicate or collaborate effectively and responsibly with project managers of related projects.

Option 2.

Option 3. Some project managers in my organization make an effort to communicate and collaborate effectively and responsibly with project managers of related projects.

Option 4.

Option 5. The project managers in my organization make communicate and collaborate effectively and responsibly with project managers of related projects.

Postscript: <*Postscript*>

Construct: <*Construct*>

Interview Notes:

Artifact Reference:

Scoring: