

PMP® V5 RDS

Project Stakeholder Management

Overview

- To identify the people, groups, or organizations that could impact or be impacted by the project, to analyze stakeholder expectations and their impact on the project
- To develop appropriate management strategies for effectively engaging stakeholders in project decisions and execution
- It focuses on continuous communication with stakeholders to understand their needs and expectations, addressing issues as they occur, managing conflicting interests and fostering appropriate stakeholder engagement in project decisions and activities
- Stakeholder satisfaction should be managed as a key project objective

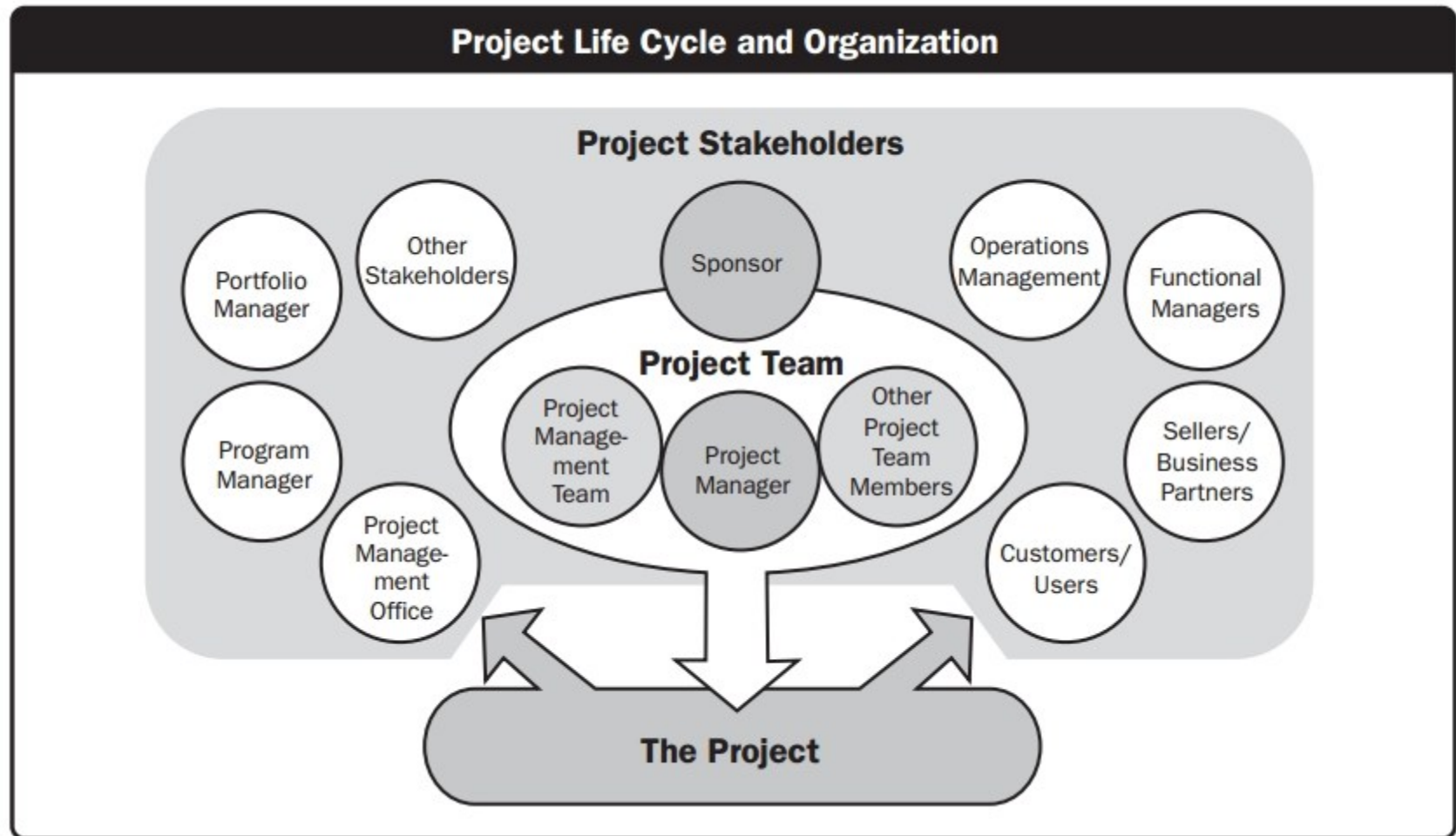
Stakeholder Management Processes

- **13.1 Identity Stakeholders** — The process of identifying the people, groups, or organizations that could impact or be impacted by a decision, activity, or outcome of the project; and analyzing and documenting relevant information regarding their interests, involvement, interdependencies, influence, and potential impact on project success.
- **13.2 Plan Stakeholder Management** — The process of developing appropriate management strategies to effectively engage stakeholders throughout the project life cycle, based on the analysis of their needs, interests, and potential impact on project success.
- **13.3 Manage Stakeholder Engagement** — The process of communicating and working with stakeholders to meet their needs/expectations, address issues as they occur, and foster appropriate stakeholder engagement in project activities throughout the project life cycle.
- **13.4 Control Stakeholder Engagement** — The process of monitoring overall project stakeholder relationships and adjusting strategies and plans for engaging stakeholders.

Maintaining Good Relationship

- A primary goal of Stakeholder Management
- Characteristics of good relationship includes:
 - Trust
 - Honesty
 - Good communication
 - Interest
 - Sincerity
 - Respect
 - Concern
 - Empathy (not sympathy)

Stakeholders



Sponsor Responsibilities

- A spokesperson of the project
- Ensures buy-in throughout the organization
- Provides funding
- Provides the project statement of work if not done by the internal staff
- Helps determining the initial scope
- May dictate milestones
- Gives the project manager authority
- Sets priorities between projects
- Determines the reports needed by management

Sponsor Responsibilities

- Helps evaluating trade-offs
- Approves the final project management plan
- Protects the project
- Resolves conflicts that is beyond the project manager's control
- Approves or rejects changes or authorizes the change control board to do so
- Clarifies scope

Project Manager Responsibilities

- Is in charge of the project
- Influences the project team and the atmosphere in which the team works by promoting good communication
- Insulate the team from having to deal with politics, and resolving team issues
- Coordinates interactions among key stakeholders
- Identifies dependencies between activities
- Understands and enforces professional and social responsibility
- Determines and delivers required levels of quality

Project Manager Responsibilities

- Uses metrics to see variances and trends in project work
- Keeps the team focused on risk management and responses
- Develops time and cost reserves
- Must say “no” when necessary
- Is accountable for project success or failure
- Applies project management knowledge and uses personal and leadership skills to achieve project success

Project Manager Responsibilities

- Negotiate with resource managers for the optimal available resources
- Create a project team directory and job descriptions
- Assign roles and responsibilities on the project
- Understand the team members' needs for training
- Insert reports of team members' performance into the company employment record
- Create recognition and rewards systems

Team Responsibilities

- Identify and involve stakeholders
- Identify requirements, constraints and assumptions
- Create the WBS
- Decompose work packages they are responsible
- Provide time and cost estimates
- Participate in the risk management process
- Execute the project management plan
- Conduct process improvement
- Recommend changes to the project

Roles and Responsibilities

- Customers:
 - Approve and manage the project's product, service, or result
- Users:
 - Will use the project's product, service, or result
 - Both may be internal or external to the performing organization and may also exist in multiple layers
- Organizational Groups:
 - Internal stakeholders who are affected by the activities of the project team
 - May provide input to requirements and accept deliverables

Roles and Responsibilities

- Sellers
 - Vendors, suppliers, or contractors
 - External companies that enter into a contractual agreement to provide components or services necessary for the project
- Business partners
 - External organizations that have a special relationship with the enterprise, sometimes attained through a certification process
 - Provide specialized expertise or fill a specified role such as installation, customization, training, or support

Functional Manager Responsibilities

- Manages and “owns” the resources
- To avoid conflict, the project manager and function managers must coordinate their respective needs regarding the use of resources to complete project work
- Assign individuals to the team
- Let the project manager know of other projects that may impact the project

Functional Manager Responsibilities

- Participate in the initial planning until work packages or activities are assigned
- Approve the final schedule
- Approve the final project management plan
- Recommend changes
- Manage activities that happen within their functional area
- Assist with problems related to team member performance

Roles and Responsibilities

- Program Manager
 - Responsible for managing a **group of related projects**
 - Manage related projects to achieve results not obtained by managing each project separately
 - Ensure selected projects support the strategic goals of the organization
- Portfolio Manager
 - Responsible for **governance** at an executive level of the projects or programs that make up a portfolio
 - Manage various **projects or programs** that may be largely **unrelated** to each other
 - Ensure selected projects provide **value** to the organization
 - Get the best return from resources invested

Other Stakeholders Responsibilities

- Procurement entities, financial institutions, government regulators, subject matter experts, consultants, ...
- Positively or negatively influence the project
- May involve in
 - Project management plan development
 - Validating scope
 - Identifying constraints and requirements
 - Risk management
- May become risk response owners

Identify Stakeholders

(initiating)

Identify Stakeholders

- The process of identifying the people, groups, or organizations that could impact or be impacted by a decision, activity, or outcome of the project, analyzing and documenting relevant information regarding their **interests**, involvement, interdependencies, **influence**, and potential impact on project success
- The key benefit of this process is that it allows the project manager to identify the appropriate focus for each stakeholder or group of stakeholders

Identify Stakeholders

■ Stakeholders

- Persons and organizations such as customers, sponsors, the performing organization, and the public
- EVERYONE who is actively involved in the project, or whose interests may be positively or negatively affected by the execution or completion of the project.
- May be at different levels
- May be external

■ Related key words

- Interest, concern, requirements, scope, expectation, influence, engagement, communication

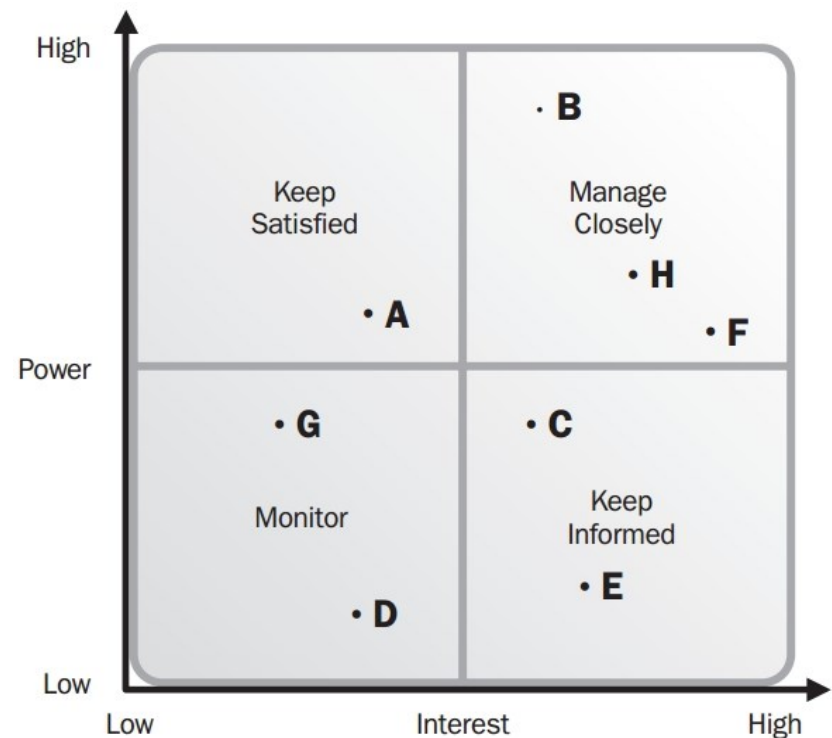
Identify Stakeholders

- Identify **ALL** of them (**early**)
- Determine ALL of their requirements
- Determine their expectations
- Determine their **interests**
- Determine their level of **influence**
- Plan how you will communicate with them
- Communicate with them
- Manage their expectations and influence

Stakeholder Analysis

Identify Stakeholders: Tools and Techniques

- **Step 1:** Identify all potential project stakeholders and relevant information, such as their roles, departments, interests, knowledge levels, expectations, and influence levels
- **Step 2:** Identify the potential impact or support each stakeholder could generate, and classify them so as to define an approach strategy.
- Also known as the Gardner grid



Classification Models

- Power / Interest grid
- Influence / Impact grid
- Power / Influence grid
- Salience model

Salience Model

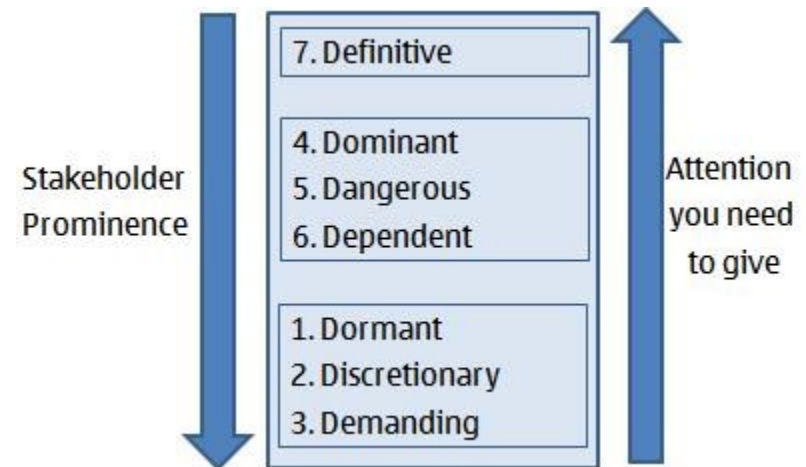
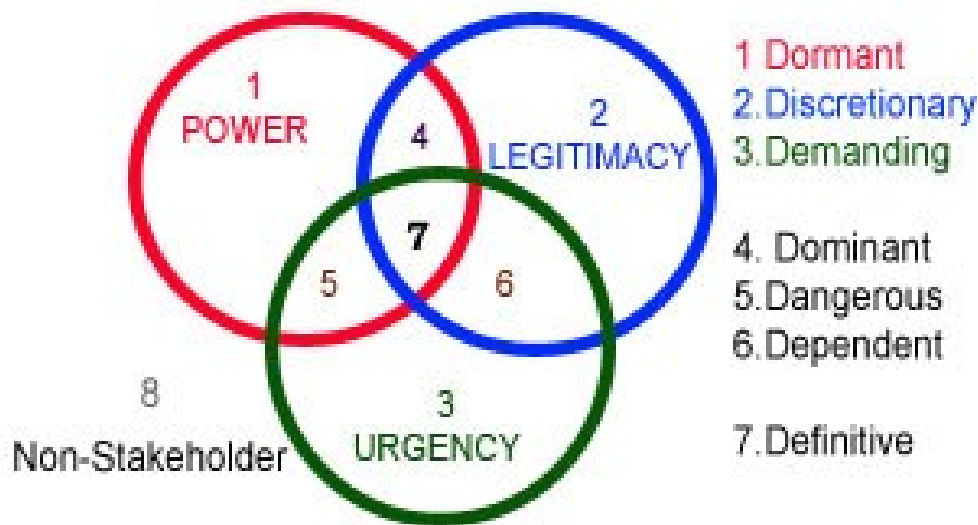
- A classification model used for Stakeholder Analysis in Project Management
- It helps project teams in selecting stakeholders and prioritizing the communication needs and expectations of stakeholders
- Stakeholder “salience” is determined by the assessment of **power, legitimacy and urgency**.

Salience Model

- Salience means **relative importance**
- The “level of salience” assists the project team in setting priority and the amount of attention that will be given to each stakeholder.
- 3 parameters
 - Power: Level of Authority of a stakeholder; the ability project stakeholder has to influence the outcome of an organization, deliverables, or a project
 - Legitimacy: determining as to whether or not involvement of a stakeholder is appropriate; the authority, level of involvement project stakeholders have on a project
 - Urgency: the need of the stakeholder for immediate action; the time expected by project stakeholders for responses to their expectations

Salience Model

Salience Model: Stakeholder Classification



For Reference Only

Salience Model

- (7) Definitive / Core: Critical project stakeholders. Project Manager needs to provide focused attention to these stakeholders.
- (4) Dominant: These stakeholders have power and legitimacy, but do not have urgency. Should focus on their expectations, but always there is not a lot of urgency.
- (6) Dependent: They have no real power on the project. However, they need to be managed because they can quite easily choose to align themselves with other project stakeholders and hence influence your project.
- (5) Dangerous: These stakeholders have power and urgency, but no legitimacy. A Project Manager needs to keep such stakeholders appropriately engaged or satisfied.

For Reference Only

Salience Model

- (1) Dormant / Latent: Possibly the best category project stakeholders. They only get into the project, if there is something has gone horribly wrong with it. Over-communication of micro-level details with them is also not a great thing to do.
- (2) Discretionary: Another wonderful classification of project stakeholders. Give them regular status updates and they'll be happy.
- (3) Demanding: They are people that always seem to think that their work needs your immediate attention. If you spend too much time and effort on these stakeholders, you won't actually gain too much project mileage. There are other more important people to work with.
- (8) Non-stakeholders: Investing time and effort on such people will not help you shape the outcome of your project in any manner.

For Reference Only

Other Classifications: 1

■ Resistor:

- A resistor actively and vocally does not support your project.
- You want to find ways to show the resistor the WIIFM (What's in it for me?) in supporting your project.
- You may also try to find ways to minimize his influence on the project.

For Reference Only

Other Classifications: 1

■ Neutral

- A neutral stakeholder doesn't support or detract from your project.
- Ideally, you want her to support your project, but she won't do any real harm by being neutral.

■ Advocate

- An advocate is actively and vocally in favor of your project.
- Try to find ways to encourage him to voice his support and try to maximize his influence.

For Reference Only

Other Classifications: 2

■ Driver

- A person who has the authority to determine the direction of the project and make decisions that affect the project.

■ Supporter

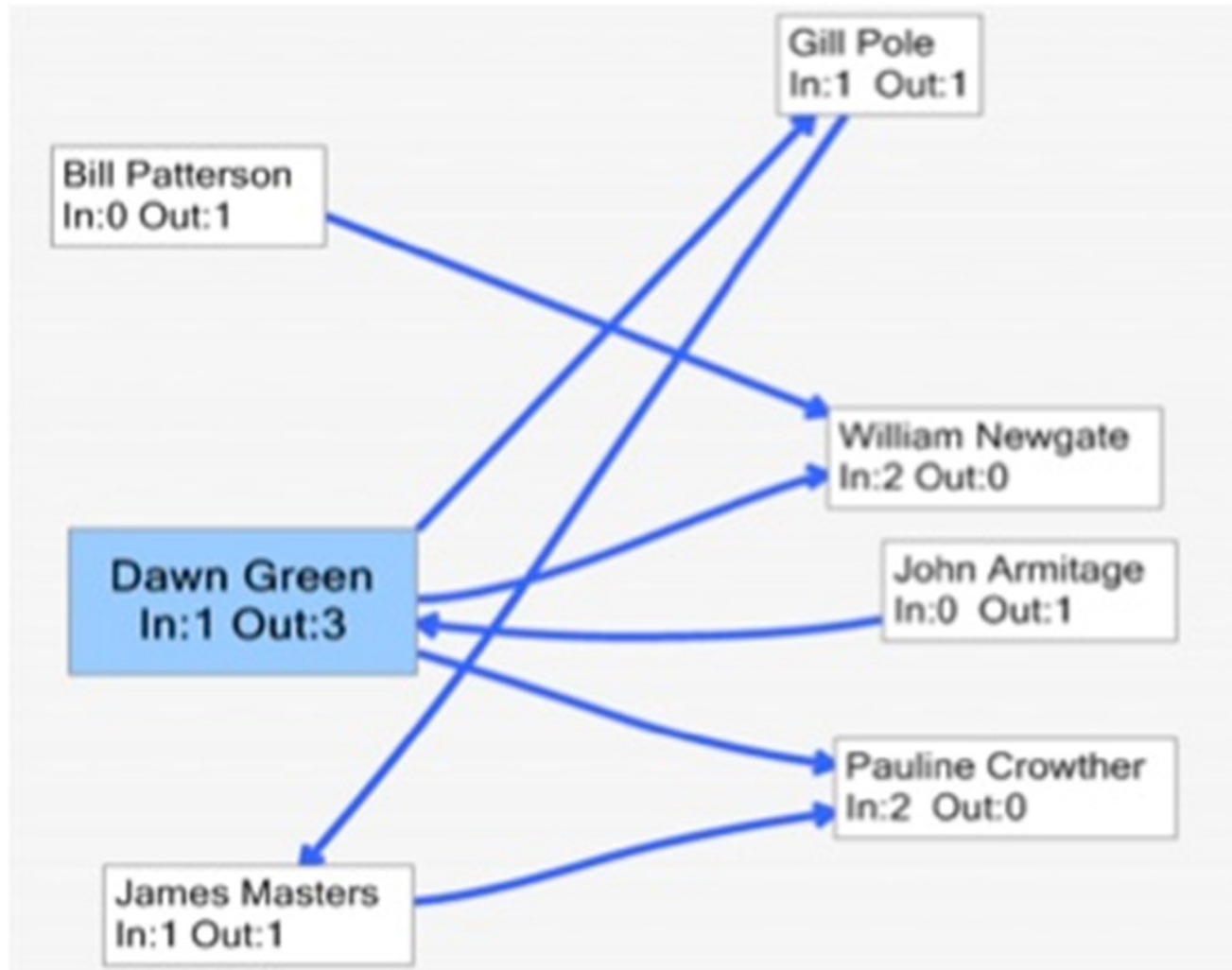
- A person who provides assistance or resources used by the project to meet objectives.

■ Observer

- A person who does not interact with, or directly influence, the project.

For Reference Only

Power Map



Covered in the Stakeholder Engagement Certification

Stakeholder Register

Identify Stakeholders: Outputs

- Identification information: Name, organizational position, location, role in the project, contact information
- Assessment information: Major requirements, main expectations, potential influence in the project, phase in the life cycle with the most interest
- Stakeholder classification: Internal /external, supporter /neutral /resistor, etc.

Name	Department / Company	Role	Expectations	Influence / Interest / Involvement	Impact / Importance / Power	Stakeholder Category
<enter name>	<enter department>	<enter role>	<list some expectations at a high level>	<level of active regular involvement: low, high>	<ability to effect changes to planning or execution: low, high>	<see grid to assign category>
<enter name>	<enter department>	<enter role>	<list some expectations at a high level>	<level of active regular involvement: low, high>	<ability to effect changes to planning or execution: low, high>	<see grid to assign category>
<enter name>	<enter department>	<enter role>	<list some expectations at a high level>	<level of active regular involvement: low, high>	<ability to effect changes to planning or execution: low, high>	<see grid to assign category>

Identify Stakeholders (initiating)

Inputs

- .1 Project charter
- .2 Procurement documents
- .3 Enterprise environmental factors
- .4 Organizational process assets

Tools & Techniques

- .1 Stakeholder analysis
- .2 Expert judgment
- .3 Meetings

Outputs

- .1 Stakeholder register

Plan Stakeholder Management

(planning)

Plan Stakeholder Management

- The process of developing appropriate management strategies to effectively engage stakeholders throughout the project life cycle, based on the analysis of their needs, interests, and potential impact on project success
- The key benefit of this process is that it provides a clear, actionable plan to interact with project stakeholders to support the project's interests

New RDS Tasks

Plan Stakeholder Management

- Develop the stakeholder management plan by analyzing needs, interests, and potential impact in order to effectively manage stakeholders' expectations and engage them in project decisions.

Analytical Techniques

Plan Stakeholder Management: Tools and Techniques

- The current engagement level of stakeholders needs to be compared to the planned engagement levels
- The engagement level can be classified as:
 - *Unaware*: Unaware of project and potential impacts
 - *Resistant*: Aware of project and potential impacts and resistant to change
 - *Neutral*: Aware of project yet neither supportive nor resistant
 - *Supportive*: Aware of project and potential impacts and supportive to change
 - *Leading*: Aware of project and potential impacts and actively engaged in ensuring the project is a success

Stakeholders Engagement Assessment Matrix

Stakeholder	Unaware	Resistant	Neutral	Supportive	Leading
Stakeholder 1	C			D	
Stakeholder 2			C	D	
Stakeholder 3				D C	

C: Current Engagement

D: Desired Engagement

Stakeholder Management Strategy

- Project manager needs to develop a strategy to determine how to manager all of these individuals
 - Some require more management and some less
 - Stakeholders can be an asset or a problem
 - Identify key stakeholders who can significantly impact the project
 - Identify level of participation in the project desired for each identified stakeholder

Actions of Developing Strategy

- Be proactive
 - Take time upfront to determine how to make the most of your supportive stakeholders and also how to minimize the potential damage from your resistor stakeholders
- Be sensible
 - Some of your strategies may be politically sensitive. Use discretion on what you write down versus how much you consider as a public document
- Use communication
 - The main tool with which to influence stakeholders and manage their expectations is communication
- Gain support
 - Ensure your stakeholders' expectations align with the project and identify strategies to engage stakeholders in supporting your project

Stakeholder Management Plan

Plan Stakeholder Management: Outputs

- It identifies the management strategies required to effectively engage stakeholders.
- Contents:
 - Desired and current engagement levels of key stakeholders
 - Scope and impact of change to stakeholders
 - Identified interrelationships and potential overlap between stakeholders
 - Communication requirements for the current project phase

Stakeholder Management Plan

Plan Stakeholder Management: Outputs

- Contents:
 - Information to be distributed to stakeholders, including language, format, content, and level of detail
 - Reason for the distribution of that information and the expected impact to stakeholder engagement
 - Time frame and frequency for the distribution of required information to stakeholders
 - Method for updating and refining the stakeholder management plan as the project progresses and develops

Plan Stakeholder Management (planning)

Inputs

- .1 Project management plan
- .2 Stakeholder register
- .3 Enterprise environmental factors
- .4 Organizational process assets

Tools & Techniques

- .1 Expert judgment
- .2 Meetings
- .3 Analytical techniques

Outputs

- .1 Stakeholder management plan
- .2 Project documents updates

Manage Stakeholder Engagement (executing)

Manage Stakeholder Engagement

- The process of communicating and working with stakeholders to meet their needs/expectations, address issues as they occur, and foster appropriate stakeholder engagement in project activities throughout the project life cycle
- The key benefit of this process is that it allows the project manager to increase support and minimize resistance from stakeholders, significantly increasing the chances to achieve project success

New RDS Tasks

Manage Stakeholder Engagement

- Maintain stakeholder relationships by following the stakeholder management plan in order to receive continued support and manage expectations.

Activities

- Engaging stakeholders at appropriate project stages to obtain or confirm their continued commitment
- Managing stakeholder expectations through negotiation and communication
- Addressing potential concerns that have not yet become issues and anticipating future problems that may be raised by stakeholders. Such concerns need to be identified and discussed as soon as possible to assess associated project risks
- Clarifying and resolving issues that have been identified

Stakeholder Management Plan

Manage Stakeholder Engagement: Inputs

- It provides the guidance on:
 - Stakeholder communications requirements
 - Information to be communicated, including language, format, content, and level of detail
 - Reason for distribution of information
 - Person or groups who will receive information
 - Escalation process

Manage Stakeholder Engagement

Tools and Techniques

- Interpersonal skills
 - Building trust
 - Resolving conflict
 - Active listening
 - Overcoming resistance to change
- Management skills
 - Facilitate consensus toward project objectives
 - Influence people to support the project
 - Negotiate agreements to satisfy the project needs
 - Modify organizational behavior (embedding as a culture) to accept the project outcomes

Organizational Process Assets Updates

Manage Stakeholder Engagement: Outputs

- Stakeholder notifications
- Project reports
- Project presentations
- Project records
- Feedback from stakeholders
- Lessons learned documentation

Manage Stakeholder Engagement (executing)

Inputs

- .1 Stakeholder management plan
- .2 Communications management plan
- .3 Change log
- .4 Organizational process assets

Tools & Techniques

- .1 Communication methods
- .2 Interpersonal skills
- .3 Management skills

Outputs

- .1 Issue log
- .2 Change requests
- .3 Project management plan updates
- .4 Project documents updates
- .5 Organizational process assets updates

Control Stakeholder Engagement

(monitoring and controlling)

Control Stakeholder Engagement

- The process of monitoring overall project stakeholder relationships and adjusting strategies and plans for engaging stakeholders.
- The key benefit of this process is that it will maintain or increase the efficiency and effectiveness of stakeholder engagement activities as the project evolves and its environment changes.

Work Performance Data

Control Stakeholder Engagement: Inputs

- The primary observations and measurements identified during activities being performed
- Examples of work performance data:
 - Reported percentage of work completed
 - Technical performance measures
 - Start and finish dates of schedule activities
 - Number of change requests
 - Number of defects, actual costs, actual durations, etc.

Information Management Systems

Control Stakeholder Engagement: Tools and Techniques

- Provides a standard tool for the project manager to capture, store, and distribute information to stakeholders about the project cost, schedule progress, and performance
- Allows the project manager to consolidate reports from several systems and facilitate report distribution to the project stakeholders.
- Distribution formats
 - Table reporting, spreadsheet analysis, and presentations

Work Performance Information

Control Stakeholder Engagement: Outputs

- It is the performance data collected from various controlling processes, analyzed in context, and integrated based on relationships across areas.
- These information is correlated and contextualized and provides a sound foundation for project decisions.
- Work performance information is circulated through communication processes.
- Examples:
 - Status of deliverables
 - Implementation status for change requests
 - Forecasted estimates to complete

Project Documents Updates

Control Stakeholder Engagement: Outputs

- Stakeholder register
 - This is updated as information on stakeholders change, when new stakeholders are identified, or if registered stakeholders are no longer involved in or impacted by the project, or other updates for specific stakeholders are required.
- Issue log
 - This is updated as new issues are identified and current issues are resolved.

Control Stakeholder Engagement

(monitoring and controlling)

Inputs

- .1 Project management plan
- .2 Issue log
- .3 Work performance data
- .4 Project documents

Tools & Techniques

- .1 Information management systems
- .2 Expert judgment
- .3 Meetings

Outputs

- .1 Work performance information
- .2 Change requests
- .3 Project management plan updates
- .4 Project documents updates
- .5 Organizational process assets updates

Exercise

- Which of the following are ALWAYS stakeholders?
 - A. A person who does not want the project to be completed
 - B. An assembly line worker that will use the product of the project
 - C. A functional manager from the engineering department
 - D. A person who might lose his or her position in the company because of the project

Answer: B

- When do stakeholders have the MOST influence on a project?
 - A. At the beginning of the project
 - B. In the middle of the project
 - C. At the end of the project
 - D. Throughout the project

Answer: A

- Stakeholders can be identified in which project management process groups?
 - A. Initiating, planning, executing, monitoring and controlling, and closing
 - B. Initiating and planning
 - C. Planning and monitoring and controlling
 - D. Monitoring and controlling and closing

Answer: A

- A particular stakeholder has a reputation for making many changes on projects. What is the BEST approach a project manager can take at the beginning of the project to manage this situation?
 - A. Say “No” to the stakeholder a few times to dissuade him from submitting more changes.
 - B. Get the stakeholder involved in the project as early as possible.
 - C. Talk to the stakeholder’s boss to find ways to direct the stakeholder’s activities to another project.
 - D. Ask that the stakeholder not be included in the stakeholder listing.

Answer: B

- You are the project manager for a large installation project when you realize that there are over 200 potential stakeholders on the project. Which of the following would be the BEST course of action for you to take?
 - A. Eliminate some stakeholders.
 - B. Contact your manager, and ask which stakeholders are most important.
 - C. Gather the needs of all the most influential stakeholders.
 - D. Find an effective way to gather the needs of all stakeholders.

Answer: D

- A project manager wants to more extensively involve the stakeholders on the project. Which of the following would be the BEST way accomplish this?
 - A. Have the stakeholders periodically review the list of project requirements.
 - B. Invite the stakeholders to attend project status meetings.
 - C. Send the status report to the stakeholders.
 - D. Constantly update the stakeholders on the status of all project changes.

Answer: A

- Which kind of stakeholder is most actively engaged in ensuring the project is a success?
 - A. Leading
 - B. Resistant
 - C. Supportive
 - D. Unaware

Answer: A

- Salience model is a tool of:
 - A. Identify stakeholders
 - B. Plan stakeholder management
 - C. Manage stakeholder engagement
 - D. Control stakeholder engagement

Answer: A

- Stakeholder Register does not include:
 - A. Assessment information
 - B. Identification information
 - C. Stakeholder management strategy
 - D. Stakeholder classification

Answer: C

- What does “C” stand for in the Stakeholder Engagement Assessment Matrix?
 - A. Consulted
 - B. Current status
 - C. Customer
 - D. Changed

Answer: B

- The sponsor's role on a project is BEST described as:
 - A. Helping to plan activities.
 - B. Helping to prevent unnecessary changes to project objectives.
 - C. Identifying unnecessary project constraints.
 - D. Helping to put the project management plan together.

Answer: B

- If you are using a Gardner grid to show the results of stakeholder analysis, what information about stakeholders would you be showing?
 - A. How much power, urgency and legitimacy they had
 - B. The amount of risk each stakeholder was willing to share
 - C. The levels of power and interest of each stakeholder.
 - D. Their contact details and interest in the project.

Answer: C

PMP® V5 RDS

Professional and Social Responsibility

Overview

- Not a direct exam topic
- Studying the PMI's Code of Ethics will help answering some exam questions
- The knowledge of Professional and Social Responsibility is tested with other knowledge domains

Professional and Social Responsibility

Old version of PMI Code of Ethics and Professional Conduct (still valid) is broken down into:

- Ensure individual integrity
- Contribute to the project management knowledge base
- Enhance personal professional competence
- Promote interaction among stakeholders

Professional and Social Responsibility

PMI's Code of Ethics (2006) is broken down into the following categories:



Professional and Social Responsibility

- Take the code of ethics as **doctrines** when you are doing the PMP exam.
- Remember that you have agreed the code of ethics during your PMP exam application.
 - **It applies to YOU!**
- PMI's view is based on PMI's Code of Ethics
 - What is PMI?
 - PMI is a professional body.
 - What is the role of a professional body?
 - To promote its profession

Chapter 1: Vision and Applicability

第一章 愿景与适用性

1.1 Vision and Purpose

As practitioners of project management, we are committed to doing what is right and honorable. We set **high standards** for ourselves and we aspire to meet these standards in all aspects of our lives—at work, at home, and in service to our profession.

This Code of Ethics and Professional Conduct describes the expectations that we have of **ourselves and our fellow practitioners** in the **global** project management community. It articulates the **ideals** to which we aspire as well as the behaviors that are mandatory in our professional and volunteer roles.

1.1 Vision and Purpose

The purpose of this Code is to instill confidence in the project management profession and to help an individual become a better practitioner. We do this by establishing a profession-wide understanding of appropriate behavior. We believe that the credibility and reputation of the project management profession is shaped by the collective conduct of individual practitioners.

We believe that we can advance our profession, both individually and collectively, by embracing this Code of Ethics and Professional Conduct. We also believe that this Code will assist us in making wise decisions, particularly when faced with difficult situations where we may be asked to compromise our integrity or our values.

Our hope that this Code of Ethics and Professional Conduct will serve as a catalyst for others to study, deliberate, and write about ethics and values. Further, we hope that this Code will ultimately be used to build upon and evolve our profession.

1.1 愿景与目的

作为项目管理从业人员，我们承诺做正确和高尚的事。我们为自己制定了**很高的标准**，并努力在工作、家庭和专业服务等生活中的各方面达到这些标准。

本《道德规范与专业操守守则》描述**对我们自己以及全球项目管理业界同仁的期待**。本守则阐述了我们渴求的**理想**以及我们作为专业人员和义工必须遵守的行为规范。

本守则的目的是激发人们对项目管理专业的信心，并帮助个人成为更好的从业人员。我们通过在专业领域建立对适当行为的理解，达到这一目标。我们相信，项目管理专业的信誉和名声是通过个体从业人员的集体操守建立的。

我们相信，我们能够通过遵守本《道德规范与专业操守守则》推动个人和集体的专业发展。我们还相信，本守则将协助我们作出明智的决定，尤其是在我们面临困境、要求放弃我们的诚信或价值观时。

我们希望本《道德规范与专业操守守则》能够成为推动其他人研究、思考和编写有关道德规范与价值观资料的催化剂。另外，我们还希望本守则最终被用作推动我们的专业发展的基础。

1.2 Persons to Whom the Code Applies

1.2.1 All PMI members

1.2.2 Individuals who are not members of PMI but meet one or more of the following criteria:

- .1 Non-members who hold a **PMI certification**
- .2 Non-members who apply to **commence a PMI certification process**
- .3 Non-members who serve PMI in a volunteer capacity.

(It is highly likely that the code applies to YOU)

1.2 守则适用对象

《道德规范与专业操守守则》适用于：

1.2.1 全体项目管理学院会员

1.2.2 非项目管理学院会员、但符合以下一条或多条标准的个人：

- .1 拥有项目管理学院证书的非会员人士
- .2 申请开始项目管理学院认证程序的非会员人士
- .3 以义工身份为项目管理学院服务的非会员人士

评论意见：持有项目管理学院（PMI®）认证（无论是否是会员）的人士以前须遵守《项目管理专业人士（PMP®）或项目管理经认证人员（CAPM®）专业操守守则》，应继续遵守PMI《道德规范与专业操守守则》。PMI以往对会员与经认证个人有不同的道德规范标准。对编写本守则提出建议的利益相关者认为，制定多套守则并不合适，每个人都应当遵守同一套高标准。因此，本守则适用于PMI会员以及无论是否具备PMI会员资格、但已申请或收到PMI资格认证的个人。

1.3 Structure of the Code

The Code of Ethics and Professional Conduct is divided into sections that contain standards of conduct which are aligned with the four values that were identified as most important to the project management community. Some sections of this Code include comments. Comments are not mandatory parts of the Code, but provide examples and other clarification. Finally, a glossary can be found at the end of the standard. The glossary defines words and phrases used in the Code. For convenience, those terms defined in the glossary are underlined in the text of the Code.

1.3 守则结构

《道德规范与专业操守守则》的各章节包含了体现项目管理业界认为最重要的四项价值观的操守标准。本守则部分章节包括评论意见。评论意见并非守则必须遵守的内容，但列举了一些范例和其他解释。最后，在标准结尾部分有一份术语表，该术语表列出守则中使用的词语定义。为了便于查找，这些在术语表中定义的术语在守则正文中均带有下列线。

1.4 Values that Support this Code

Practitioners from the global project management community were asked to identify the values that formed the basis of their decision making and guided their actions. The values that the global project management community defined as most important were: **responsibility, respect, fairness, and honesty**. This Code affirms these four values as its foundation.

1.4 支持本守则的价值观

来自全球项目管理业界的从业人员曾被要求识别构成其决策基础和指导其行动的价值观。被全球项目管理业界定义为最重要的价值观包括：**责任、尊重、公平和诚信**。本守则以这四条价值观为基础。

1.5 Aspirational and Mandatory Conduct

Each section of the Code of Ethics and Professional Conduct includes both aspirational standards and mandatory standards. The **aspirational** standards describe the conduct that we strive to uphold as practitioners. Although adherence to the aspirational standards is not easily measured, conducting ourselves in accordance with these is an expectation that we have of ourselves as professionals—it is **not optional**.

The **mandatory** standards establish **firm requirements**, and in some cases, limit or prohibit practitioner behavior. Practitioners who do not conduct themselves in accordance with these standards will be **subject to disciplinary procedures** before PMI's Ethics Review Committee.

Comment: The conduct covered under the aspirational standards and conduct covered under the mandatory standards are not mutually exclusive; that is, one specific act or omission could violate both aspirational and mandatory standards.

- **Aspirational: should**
- **Mandatory: shall**

1.5 理想的和必须遵守的操守

《道德规范与专业操守守则》的每一节都包括**理想的**标准和**必须遵守的**标准。理想的标准描述我们作为从业人员努力坚持的操守。尽管对坚持理想标准进行衡量并非易事，依照这些标准行事是我们对自己作为从业人员的期待，**并非可有可无的要求**。

必须遵守的标准规定了严格的要求，在某些情况下限制或禁止从业人员的行为。不依照这些标准行事的从业人员**将受到PMI道德审查委员会的纪律处罚**。

评论意见：理想的标准和必须遵守的标准包含的内容并不互相排斥；即一种具体行动或疏忽可能同时违反理想的和必须遵守的标准。

Chapter 2: Responsibility

第二章 责任

2.1 Description of Responsibility

Responsibility is our duty to **take ownership** for the decisions we make or fail to make, the actions we take or fail to take, and the consequences that result.

2.1 责任说明

责任是我们对作出的或未作出的决定、采取或未采取的行动以及因此导致的**后果承担责任**。

2.2 Responsibility:

Aspirational Standards

2.2.1 We make decisions and take actions based on the **best interests of society, public safety, and the environment.**

2.2.2 We **accept only those assignments that are consistent with our background, experience, skills, and qualifications.**

Comment: Where developmental or stretch assignments are being considered, we ensure that key stakeholders receive timely and complete information regarding the gaps in our qualifications so that they may make informed decisions regarding our suitability for a particular assignment. In the case of a contracting arrangement, we only bid on work that our organization is qualified to perform and we assign only qualified individuals to perform the work.

2.2 Responsibility:

Aspirational Standards

2.2.3 We fulfill the commitments that we undertake – we do what we say we will do.

2.2.4 When we make errors or omissions, we take ownership and make corrections promptly. When we discover errors or omissions caused by others, we communicate them to the appropriate body as soon they are discovered. We accept accountability for any issues resulting from our errors or omissions and any resulting consequences.

2.2.5 We protect proprietary or confidential information that has been entrusted to us.

2.2.6 We uphold this Code and hold each other accountable to it.

2.2 理想的标准

2.2.1 我们按照**社会、公众安全和环境**的最佳利益作出决定和采取行动。

2.2.2 我们仅接受与我们的**背景、经验、技能和资格相符的任务**。

评论意见：在考虑试验性或延伸性任务时，我们确保主要利益相关者及时收到有关我们的资格差距的完整信息，以便对我们完成具体任务的适合性作出知情决定。

在合约安排方面，我们仅对本机构有资格完成的工作投标，并仅分配合格的个人完成工作。

2.2.3 我们完成所承担的义务 — 我们兑现自己的承诺。

2.2.4 我们在出现错误或疏忽时勇于承担责任，并立即予以纠正。我们一旦发现他人的错误或疏忽，会立即向相关机构报告。我们对任何因我们的错误或疏忽导致的问题以及造成的任何后果承担责任。

2.2.5 我们保护委托给我们的专有或保密信息。

2.2.6 我们坚持本守则，并**要求自己**和**业界同仁对遵守守则承担责任**。

2.3 Responsibility:

Mandatory Standards

Regulations and Legal Requirements

2.3.1 We inform ourselves and uphold the **policies, rules, regulations and laws** that govern our work, professional, and volunteer activities.

2.3.2 We **report unethical or illegal conduct to appropriate management** and, if necessary, **to those affected by the conduct**.

Comment: These provisions have several implications. Specifically, we do not engage in any illegal behavior, including but not limited to: theft, fraud, corruption, embezzlement, or bribery. Further, we do not take or abuse the property of others, including intellectual property, nor do we engage in slander or libel. In focus groups conducted with practitioners around the globe, these types of illegal behaviors were mentioned as being problematic.

As practitioners and representatives of our profession, we do not condone or assist others in engaging in illegal behavior. We report any illegal or unethical conduct. Reporting is not easy and we recognize that it may have negative consequences. Since recent corporate scandals, many organizations have adopted policies to protect employees who reveal the truth about illegal or unethical activities. Some governments have also adopted legislation to protect employees who come forward with the truth.

2.3 Responsibility:

Mandatory Standards

Ethics Complaints

2.3.3 We bring violations of this Code to the attention of the appropriate body for resolution.

2.3.4 We only file ethics complaints when they are substantiated by facts.

Comment: These provisions have several implications. We cooperate with PMI concerning ethics violations and the collection of related information whether we are a complainant or a respondent. We also abstain from accusing others of ethical misconduct when we do not have all the facts. Further, we pursue disciplinary action against individuals who knowingly make false allegations against others.

2.3.5 We pursue disciplinary action against an individual who retaliates against a person raising ethics concerns.

2.3 责任：必须遵守的标准

规章与法律要求

2.3.1 我们了解和支持制约我们的工作、专业和义务活动的政策、规定、规章和法律。

2.3.2 我们向相关管理人员报告不道德的或非法的行为，必要时向受到此类行为影响的人士报告。

评论意见：这些规定有几种含义。具体而言，我们不从事任何非法的行为，包括但不限于：偷窃、欺诈、腐败、贪污或贿赂。此外，我们不侵占或滥用他人的财产，包括知识产权，我们也不进行诽谤或中伤。在为世界各地从业人员举办的核心组讨论中，此类非法行为被视为有问题的行为。

作为本专业的从业人员和代表，我们不会宽容或协助他人从事非法行为。我们揭发任何非法或不道德的行为。揭发并非易事，我们认识到这样做可能会带来负面的后果。自从最近出现企业丑闻以来，很多机构采纳了保护披露有关非法或不道德活动真相雇员的政策。一些政府机构也通过了保护披露真相雇员的法规。

2.3 责任：必须遵守的标准

道德规范申诉

2.3.3 我们将违反本守则的行反映给有关机构，以作解决。

2.3.4 我们仅将有事实依据的道德规范申诉备案。

评论意见：这些规定有几种含义。无论是作为申诉人还是作为应答者，我们就违反道德规范的行为以及搜集相关信息与PMI合作。我们还在不掌握全部事实的情况下避免指控他人的违反道德的行为。此外，我们对有意对他人作出不实指控的个人采取纪律处罚行动。

2.3.5 我们对提出道德规范问题的人进行报复的个人采取纪律处罚行动。

Responsibility : Summary

- Responsibility - Ownership of Decisions and Actions
 - Make decisions based on the best interests of the company, rather than your own best interest
 - Only accept assignments you are qualified to complete
 - Protect proprietary information
 - Report unethical behavior and violations

Chapter 3: Respect

第三章 尊重

3.1 Description of Respect

Respect is our duty to show a high regard **for ourselves, others, and the resources entrusted to us**. Resources entrusted to us may include people, money, reputation, the safety of others, and natural or environmental resources.

An environment of respect engenders trust, confidence, and performance excellence by fostering mutual cooperation — an environment where diverse perspectives and views are encouraged and valued.

3.1 尊重说明

尊重是我们显示高度尊重自己、他人以及托付给我们的资源的责任。托付给我们的资源可能包括人员、资金、声誉、他人的安全以及自然或环境资源。

人们在尊重的环境中可通过培养相互合作关系建立信任、信心和创造优异业绩，这种环境鼓励和尊重不同的观点和看法。

3.2 Respect:

Aspirational Standards

3.2.1 We inform ourselves about the **norms and customs** of others and avoid engaging in behaviors they might consider disrespectful.

3.2.2 We listen to others 'points of view, seeking to understand them.

3.2.3 We **approach directly those persons with whom we have a conflict or disagreement.**

3.2.4 We conduct ourselves in a professional manner, even when it is not reciprocated.

Comment: An implication of these provisions is that we avoid engaging in gossip and avoid making negative remarks to undermine another person's reputation. We also have a duty under this Code to confront others who engage in these types of behaviors.

3.2 尊重：理想的标准

3.2.1 我们应当**熟悉他人的标准和习惯**，避免自己的行为被他人视为无礼。

3.2.2 我们注意倾听和理解他人的观点。

3.2.3 我们**直接与发生冲突或持异见的人士接洽**。

3.2.4 我们以专业的态度行事，即使对方不以同样的态度对待我们亦如此。

评论意见：此类规定的一种含义是我们应当避免散布流言飞语和作负面的评论，从而导致损坏他人的名声。按照本守则的规定，我们还有责任制止他人的此类行为。

3.3 Respect:

Mandatory Standards

3.3.1 We negotiate in good faith.

3.3.2 We do not exercise the power of our expertise or position to influence the decisions or actions of others in order to benefit personally at their expense.

3.3.3 We do not act in an abusive manner toward others.

3.3.4 We respect the property rights of others.

3.3 尊重： 必须遵守的标准

3.3.1 我们真诚地进行协商。

3.3.2 我们不通过行使我们的专长或职位权利影响他人的决定或行动，使他人利益受损，为自身牟利。

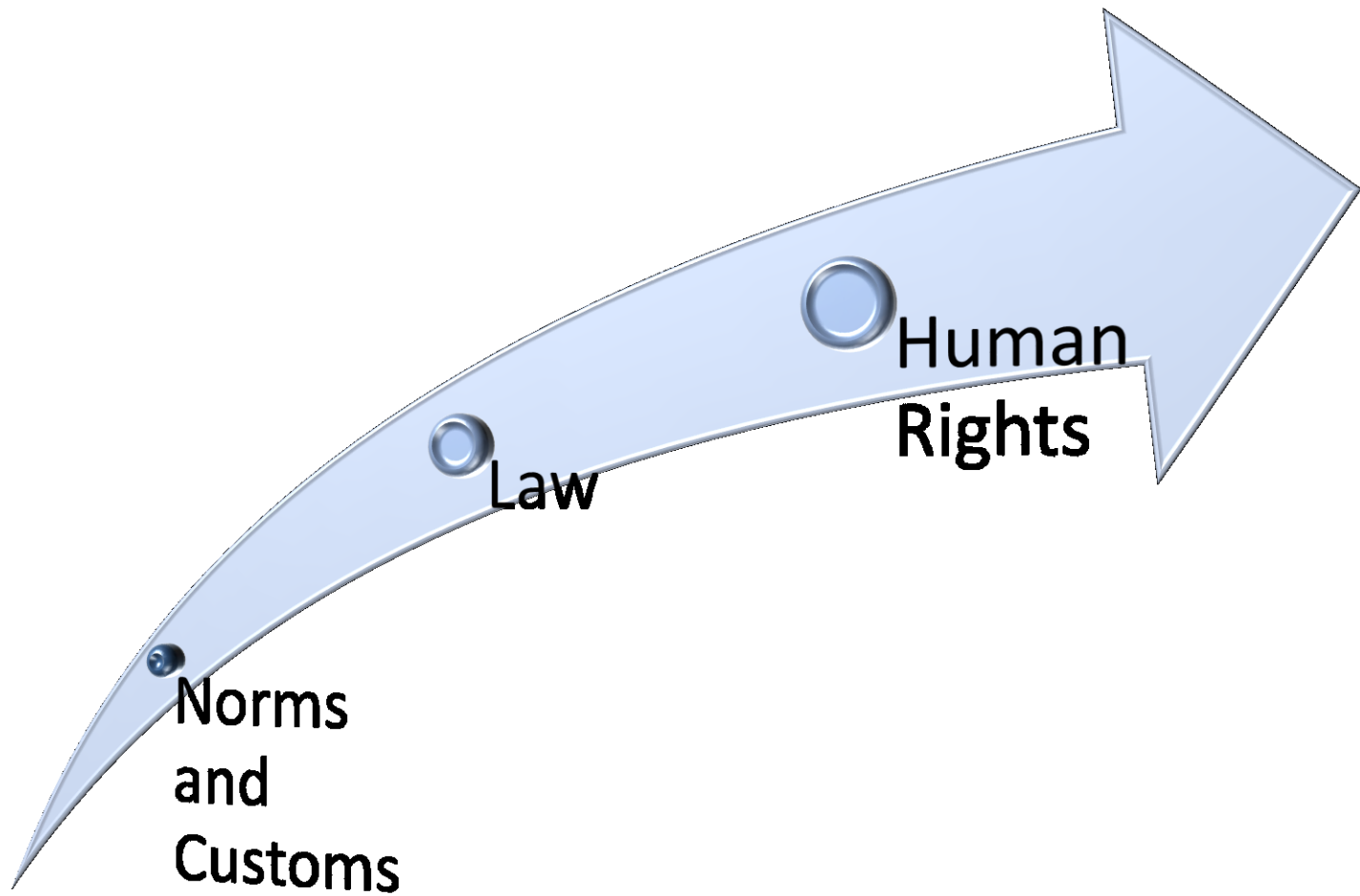
3.3.3 我们不以凌辱的态度对待他人。

3.3.4 我们尊重他人的产权。

Respect : Summary

- Respect - The Appropriate Treatment of People and Resources
 - Maintain an attitude of mutual cooperation
 - Respect cultural differences
 - Engage in good faith negotiations
 - Be direct in dealing with conflict
 - Do not use your power or position to influence others for your own benefit

Respect



Chapter 4: Fairness

第四章 公平

4.1 Description of Fairness

Fairness is our duty to make decisions and act impartially and objectively. Our conduct must be free from competing self interest, prejudice, and favoritism.

4.1 公平说明

公平是我们以公正和客观的态度作出决定和采取行动的责任。我们的行为**不得涉及自我利益、偏见和偏袒。**

4.2 Fairness:

Aspirational Standards

4.2.1 We demonstrate **transparency** in our decision-making process.

4.2.2 We constantly reexamine our impartiality and objectivity, taking corrective action as appropriate.

Comment: Research with practitioners indicated that the subject of conflicts of interest is one of the most challenging faced by our profession. One of the biggest problems practitioners report is not recognizing when we have conflicted loyalties and recognizing when we are inadvertently placing ourselves or others in a conflict-of-interest situation. We as practitioners must proactively search for potential conflicts and help each other by highlighting each other's potential conflicts of interest and insisting that they be resolved.

4.2.3 We provide equal access to information to those who are authorized to have that information.

4.2.4 We make opportunities equally available to qualified candidates.

Comment: An implication of these provisions is, in the case of a contracting arrangement, we provide equal access to information during the bidding process.

4.2 公平：理想的标准

4.2.1 我们的决策过程必须具有透明度。

4.2.2 我们不断重新检查我们的公正性和客观性，并在适当时采取纠正措施。

评论意见：对从业人员进行的调查显示，本专业人员面临的最具有挑战性的问题之一是利益冲突。从业人员反映的最严重的问题之一是无法识别有冲突性的忠诚以及无意中使自己或他人处于利益冲突的境地。作为从业人员，我们必须积极地查找潜在的冲突，通过强调彼此之间的潜在利益冲突、并坚持解决这些冲突作为互相帮助的途径。

4.2.3 我们向经授权可获得信息的人提供获取信息的同等权利。

4.2.4 我们向合格的候选人提供同等的机会。

评论意见：在合约安排方面，这些规定的一种含义是，我们在投标程序中提供获取信息的同等机会。

4.3 Fairness:

Mandatory Standards

Conflict of Interest Situations

4.3.1 We proactively and fully **disclose** any real or potential conflicts of interest to the appropriate stakeholders.

4.3.2 When we realize that we have a real or potential conflict of interest, we **refrain from engaging in the decision-making** process or otherwise attempting to influence outcomes, unless or until: we have made full disclosure to the affected stakeholders; we have an approved mitigation plan; and we have obtained the consent of the stakeholders to proceed.

Comment: A conflict of interest occurs when we are in a position to influence decisions or other outcomes on behalf of one party when such decisions or outcomes could affect one or more other parties with which we have competing loyalties. For example, when we are acting as an employee, we have a duty of loyalty to our employer. When we are acting as a PMI volunteer, we have a duty of loyalty to the Project Management Institute. We must recognize these divergent interests and refrain from influencing decisions when we have a conflict of interest.

Further, even if we believe that we can set aside our divided loyalties and make decisions impartially, we treat the appearance of a conflict of interest as a conflict of interest and follow the provisions described in the Code.

4.3 公平：必须遵守的标准

利益冲突的情况

4.3.1 我们积极主动地向有关利益相关者**全面披露任何真实的或潜在的利益冲突状况**。

4.3.2 当我们认识到存在真实的或潜在的利益冲突时，我们**避免参与决策程序**或以其他方式试图影响决策结果，除非我们已经向受影响的利益相关者作出全面披露；我们已经有获批准的缓和计划；我们已经获得利益相关者的同意开展行动。

评论意见：当我们代表一方参与决策或发挥其他影响，而这种决策或影响涉及与我们有利益关系的另一方或多方时，就存在利益冲突。例如，当我们以雇员身份工作时，我们对我们的雇主具有忠诚责任。当我们作为PMI义工工作时，我们对PMI具有忠诚责任。我们必须认识到这些不同的利益，并避免在存在利益冲突时对决定产生影响。

此外，即使我们认为可以不考虑我们的不同的忠诚责任，公正地作出决定，我们将表面看起来存在利益冲突的情形视为利益冲突，并依照本守则中描述的规定处理。

4.3 Fairness:

Mandatory Standards

Favoritism and Discrimination

4.3.3 We do not hire or fire, reward or punish, or award or deny contracts based on personal considerations, including but not limited to, **favoritism, nepotism, or bribery**.

4.3.4 We do not discriminate against others based on, but not limited to, gender, race, age, religion, disability, nationality, or sexual orientation.

4.3.5 We apply the rules of the organization (employer, Project Management Institute, or other group) without favoritism or prejudice.

4.3 公平：必须遵守的标准

偏袒和歧视

4.3.3 我们不依据个人因素（包括但不限于**偏袒、裙带关系或贿赂**）聘用或解聘、奖励或惩罚、批准或拒绝批准合同。

4.3.4 我们不依据性别、种族、年龄、宗教、残障、国籍或性取向歧视他人。

4.3.5 我们不以偏袒或带有偏见的态度执行机构（雇主、PMI或其他团体）的规定。

Fairness : Summary

- Fairness - Being Objective and Making Impartial Decisions
 - Act impartially without bribery
 - Continuously look for conflicts of interest and disclose them
 - Do not discriminate against others
 - Do not use your position for personal or business gain

Chapter 5: Honesty

第五章 诚信

5.1 Description of Honesty

Honesty is our duty to understand the truth and act in a truthful manner both in our communications and in our conduct.

5.1 诚信说明

诚信是在我们的交流和行动中理解事实和以诚实的方式行事的责任。

5.2 Honesty:

Aspirational Standards

5.2.1 We earnestly seek to understand the truth.

5.2.2 We are **truthful in our communications and in our conduct.**

5.2.3 We provide accurate information in a timely manner.

Comment: An implication of these provisions is that we take appropriate steps to ensure that the information we are basing our decisions upon or providing to others is accurate, reliable, and timely.

This includes **having the courage to share bad news even** when it may be poorly received. Also, when outcomes are negative, we avoid burying information or shifting blame to others. When outcomes are positive, we avoid taking credit for the achievements of others. These provisions reinforce our commitment to be both honest and responsible.

5.2.4 We make commitments and promises, implied or explicit, in good faith.

5.2.5 We strive to **create an environment in which others feel safe to tell the truth.**

5.2 诚信：理想的标准

5.2.1 我们真诚地努力理解事实。

5.2.2 我们在**交流和行为中保持诚实**的态度。

5.2.3 我们及时提供准确的信息。

评论意见：此类规定的一种含义是我们应采取适当的步骤，确保我们作决定所基于的信息或向他人提供的信息准确、可靠、及时。

这包括**有勇气分享别人不愿听到的坏消息**。此外，在出现负面结果时，我们应避免隐瞒信息或将责任推给他人。在出现正面结果时，我们应避免将他人的成就据为己有。此类规定加强我们对诚实和责任的承诺。

5.2.4 我们以真诚的态度作出默示或明确的承诺和保证。

5.2.5 我们努力**创建让他人说真话时感到安全的环境**。

5.3 Honesty:

Mandatory Standards

5.3.1 We do not engage in or condone behavior that is designed to deceive others, including but not limited to, making misleading or false statements, stating half-truths, providing information out of context or withholding information that, if known, would render our statements as misleading or incomplete.

5.3.2 We do not engage in dishonest behavior with the intention of personal gain or at the expense of another.

Comment: The aspirational standards exhort us to be truthful. Half-truths and non-disclosures intended to mislead stakeholders are as unprofessional as affirmatively making misrepresentations. We develop credibility by providing complete and accurate information.

5.3 诚信： 必须遵守的标准

5.3.1 我们不从事或宽容有意欺骗他人的行为，包括但不限于作出误导性或虚假的陈述、作出歪曲部分真实情况的报道、断章取义地提供或隐瞒信息，以致在信息披露后使我们的陈述具有误导性或不完整性。

5.3.2 我们不从事带有个人获利目的或损害他人利益的欺骗行为。

评论意见：理想的标准告诫我们要诚实行事。旨在误导利益相关者的歪曲部分真实情况的报道和不披露信息与完全错误的表述一样，属于非专业性的行为。我们通过提供完整、准确的信息建立起可信度。

Honesty : Summary

- Honesty - Understanding the Truth and Taking Action Based on Truth
 - Try to understand the truth
 - Be truthful in all communications, and create an environment where others tell the truth

The End