

Citigroup Technology Infrastructure

CITMP LEVEL 2 Standards

Project Management

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AMENDMENT HISTORY

Item No	Section Amended	Amended By	Amended Date	Version No	Description of the Change
	Distribution List	S. Geoffroy	12/28/05	2006.1	Created this section.
	Document Approval	S. Geoffroy	12/28/05	2006.1	Created this section.
	Amendment History	S. Geoffroy	12/28/05	2006.1	Created this section.
	Deviation Process	S. Geoffroy	12/28/05	2006.1	Revised Deviation Process.
	Glossary	S. Geoffroy	12/28/05	2006.1	Added Program Definition and CTI Program Management Guidelines reference.
	Glossary	Chris Seil	1/13/06	2006.2	Removed glossary
	Section 1.3.4	Chris Seil	1/13/06	2006.2	Added Section 1.3.4 on Program Management from the removed glossary
	Section 4.1	Chris Seil	1/13/06	2006.2	Moved this section to be Section 3.7 and renumbered section 4 accordingly
	Multiple	Chris Seil	1/13/06	2006.2	Changed all references from “project work plan” to “project plan”
	Section 10.2	Chris Seil	1/13/06	2006.2	Changed “some risk” to “medium risk” to make the definition for Amber consistent with the definitions for Red and Green.
	Sections 7-14	Chris Seil	1/13/06	2006.2	Added the word “Project” to the section headers to make this document consistent with the terminology in the PMI PMBOK version 3.
	Approvals	Chris Seil	1/25/06	2006.1	Added approval dates for final publication.
	Version	Chris Seil	1/25/06	2006.1	Changed version to 2006.1 (Change mandated by expected record retention procedures. The prior 2006.2 was a review draft that was never published.

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PURPOSE

These CTI CITMP Level 2 process standards have been developed to provide structure and consistency in connection with Project Management (the “Standards”).

SCOPE

These Standards apply to CTI globally, with the exception of Banamex and its subsidiaries, which follow the Level 2 as defined by Banamex.

COMPLIANCE

These Standards are effective February 1, 2006. Compliance with these Standards is required by March 31, 2006. It is the responsibility of all CTI Project Managers to comply with these Standards.

DEVIATION PROCESS

If a Project does not comply with one or more of the requirements of these Standards, a deviation from the Standards must be obtained using the deviation form available on the CTI Portal at http://www.citigroup.net/citmp/citmp_deviation.doc

Completed deviations should be submitted to the appropriate CTI PMO Head for approval. For projects managed outside of a PMO, then the CTI Global PMO head should approve the deviation.

The original approved deviation must be maintained with the Project documentation, and a copy of approved deviations must be provided to the CTI process owner for Project Management, currently Steve Geoffroy.

OWNER

The owner of these Standards is the CTI process owner of Project Management, currently Steve Geoffroy.

PUBLICATION

A copy of these Standards will be available on the CTI Portal.

(Any updates to contact names or other references contained in the Standards will be available on the CTI Portal.)

STANDARDS

1. Project Management

- 1.1. **Management.** Any activity that meets the definition of a Project must be managed as a Project in accordance with these Standards.
- 1.2. **Project Definition.** Specifically, a Project is defined as a formally requested set of activities that do not fit well into a highly repeatable task structure. Projects are measured by time, cost, and functionality; specifically, Projects...
 - Are temporary and unique
 - Have a definite beginning and end
 - Have set tasks and processes
 - Utilize resources

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- Delivers change

1.3. **Non-Project work.** Non-Project Work consists of, but is not limited to, the following:

- 1.3.1. **Technology Requests (TRs).** These are activities characterized as repeatable, end-user requests that have characteristics that can be measured consistently and compared to each other for efficiency purposes. Two predictable attributes are the estimated effort to complete the task and the expected delivery time.
- 1.3.2. **Problem Management.** These are work activities initiated in response to an outage or other issue consisting of problem identification, trouble shooting, and service restoring actions.
- 1.3.3. **Other.** This would include other activities, such as, status reporting, financial management, human resources activities, training, etc..
- 1.3.4 **Program Management** Program Management is defined as a collection of logically related projects, Technology Requests (TRs) and/or activities with a specific start and end date to achieve a common objective. Programs should follow the CTI Program Management Guidelines.

2. Project Administration

2.1. **Project Manager.** All Projects must have an assigned Project Manager. Responsibilities include:

- Developing and maintaining the Project Work Plan, including tasks required to ensure CITMP compliance
- Ensuring SILC is followed by Project members, and Project deliverables as defined by SILC are met
- Risk management, including timely escalation of appropriate risks
- Managing Project scope
- Issue management, including timely escalation of appropriate issues
- Managing Project financials
- Managing Project communication
- Reviewing (and obtaining approval, where required) of Project documentation
- Ensuring completion of appropriate post-Project reviews and using findings for continuous improvement in Project processes
- Obtaining appropriate approvals on any deviations from these Standards. (See *Deviation Process* above.)

2.2. **Project Tracking and Administration.** All Projects must be tracked and kept current in PlanView (NOTE: until the PlanView rollout is complete in all regions, the Project Tracking System (PTS) is the system of record).

2.3. **Project Management Lifecycle.** All Projects must be managed using the Standard Infrastructure Life Cycle (SILC).

2.4. **Project Documentation.**

- 2.4.1. **SILC Lite.** SILC Lite is the default documentation required for all Projects, which includes PAAD, PDD Lite, PVHD Lite, and the PCD.
- 2.4.2. **Full SILC.** An alternate version of SILC documentation may be used for a Project, at the discretion of each PMO. Full SILC documentation includes PAAD, PDD, PVHD and PCD.
- 2.4.3. **PIP.** For process improvement Projects, the PIP documentation may be used at the discretion of each PMO.

3. Phase 1: Project Initiation

The primary goal of this phase is to obtain initial approval to proceed to the Project Definition Phase.

- 3.1. **Project Authorization.** All Projects must be initiated through a two-step initiation process. The first step is the Project Sponsor request and authorization of funding, and the second step is CTI engagement and approval of the required work effort, as evidenced by the PAAD template (which can be found at <http://eipweb.eu.ssmb.com/SILC/silcrepos.asp>).
- 3.2. **Roles and Responsibilities.** Roles, responsibilities and reporting lines for all Projects must be established during the Project Initiation phase and further defined and documented in the Define and Design Phases.
- 3.3. **Project Prioritization.** All Projects must be assigned a Project Prioritization score using the Project Prioritization matrix on the CTI Portal at <http://eipweb.eu.ssmb.com/SILC/ppfhome.asp>.
- 3.4. **Level 0 Estimate Development.** A Level 0 estimate must be developed for the Project, and incorporated into the PAAD.
- 3.5. **Project Approval.** The PMO will approve the Project request and the PAAD to confirm the Project has appropriate Project sponsorship and all required information has been provided. Upon approval, the Project can move to the Project Design Phase.
- 3.6. **Project Documentation Determination.** During the Initiation Phase, the PMO will make the determination which documentation set the Project will follow, with SILC Lite being the default.
- 3.7. **Assign Project Manager.** Prior to initiating the Project Design phase, a Project Manager must be assigned to the Project.

4. Phase 2: Project Design

- 4.1. **Statement of Work (SOW).** All Projects must deliver clearly stated objectives, assumptions, constraints, deliverables, activities, acceptance criteria and justification for Project Sponsor approval. This is achieved through the PDD Lite for Projects following SILC Lite, or the PDD for Projects following SILC Full documentation.
- 4.2. **Roles and Responsibilities.** Roles, responsibilities and reporting lines for all Projects must be further refined during the Project Design phase from each CTI organization that will need to provide resources to the Project.
- 4.3. **Project Design.** All Projects must deliver a translation of the Project Design into a technical solution, which includes bill of materials, technology components, etc.. This is achieved through the PDD Lite for Projects following SILC Lite, or the PDD for Projects following SILC Full documentation.
- 4.4. **Project Plan Development.** The Project Work Plan must be finalized to reflect the current Project details; this will serve as the baseline for the rest of the Project.
- 4.5. **Capital Expenditure Request.** Projects requiring new capital, where applicable, a CEP must be prepared in accordance to that Policy and reviewed by key Project Stakeholders. The CEP Standards can be obtained from CTI Finance. Where CEPs are not required, a Level 3 estimate should be prepared and incorporated into the PDD / PDD Lite.

- 4.6. **Capital Expenditure Approval.** The request for capital expenditure prepared in 4.6 must be finalized and approved before any technology procurement is approved.)
- 4.7. **Phase Approval.** All appropriate sign-offs must be received on the PDD / PDD Lite before the Project can proceed into the Implementation Phase.

5. Phase 3: Project Implementation

- 5.1. **Procurement.** Procurement can be initiated, based on the approved capital expenditure request in Section 4.7.
- 5.2. **Project Build.** All Projects must implement a technical solution as defined in the prior Project phases, and as documented in the PVHD / PVHD Lite.
- 5.3. **Operational Readiness.** All Project technology deliverables must be tested, the results of which must be documented in the PVHD / PVHD Lite.
- 5.4. **Project Production Handover.** All Project technology deliverables to be handed over to the production environment must identify how the responsibility for the project solution will be handed over to production operations, as documented in the PVHD / PVHD Lite.
- 5.5. **Phase Approval.** All appropriate sign-offs must be received on the PVHD / PVHD Lite before the Project can proceed into the Closure Phase.

6. Phase 4: Project Closure

- 6.1. **Project Closure.** A Project can be closed through successful completion of the PCD, which assesses overall Project delivery, effectiveness of the implemented Project, and identifies learning points and process improvement opportunities for future Projects.
- 6.2. **Project Cancellation.** Projects can be cancelled by the Project Sponsor. For cancelled Projects, the Project Manager should document the reason for cancellation, identify any learning points, and close the Project.

7. Project Quality Management

- 7.1. **Quality Assurance.** All Projects must undergo Quality Assurance review as outlined in each PMO's documented Project Management QA Procedures.

8. Project Cost Management

- 8.1. **Cost Estimates.** All Projects must have associated cost estimates, as follows:
 - 8.1.1. Level 0, required for Project Initiation (and documented in PAAD)
 - 8.1.2. Level 3, in the form of an approved capital expenditure request (CEP or regional equivalent, where CEPs are not required) is required for Project Design for projects with a new expenditure, prior to final commitment of resources. Level 3 should be incorporated into the PDD / PDD Lite otherwise.
- 8.2. **Procurement.** A capital expenditure request must be finalized and approved before any technology procurement is approved
- 8.3. **Ongoing Review.** The Project must be reviewed on a regular basis to ensure actual expenditures are within acceptable tolerances; unacceptable deviations must be reported as an issue.

9. Project Human Resource Management

Human Resource management includes processes to ensure effective use of Project staff.

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- 9.1. **Project Management Staffing.** For all Projects, a Project Manager will be assigned, and regional PMOs will ensure there are appropriate Project Management resources to staff the Project volumes, either through full-time or temporary staff.
- 9.2. **Project Resources / Team Staffing.** For all Projects, CTI workstreams will make available the necessary resources to deliver Projects, either through full-time or temporary staff.

10. Project Communication Management

- 10.1. **Status Reporting.** All Projects must be reported to management and the Project Sponsor against milestones, costs, and progress against deliverables on a regular basis. All Projects must report status in the Online Project Status Reporting tool, until the rollout of PlanView is complete, at which time, PlanView will be the required reporting tool.
- 10.2. **Project Status.** Each Project must be assigned a status to reflect the health of that Project. Any issue that affects the quality, financial performance, or schedule performance should be evaluated to determine if the overall project status should change. Guidelines for status include:
 - **Green** = (Low Risk) Project is currently on schedule, in budget, and has no foreseeable obstacles that would hinder successful completion.
 - **Amber** = (Some Risk) Project is currently behind schedule and/or trending over budget. There may be roadblocks that would hinder successful completion. These can be corrected by the estimated completion date of the Project. (NOTE: Any Interim milestone more than 30 days behind schedule should change the overall project trend to Amber. Any forecast delay in the overall end date of the project less than 30 days should change the trend to Amber. Any change in the financial forecast that exceeds 5% should change the trend to Amber.)
 - **Red** = (High Risk) Critical path dates have been missed, resulting in a slip of the project completion date. Project will NOT be able to be completed on time or within budget. (NOTE: Any forecast delay in the overall end date of more than 30 days should change the trend to Red. Any change in the financial forecast that exceeds 10% should change the trend to Red.)

11. Project Risk Management

- 11.1. **Risk Register.** The Project Manager must maintain a current log of all Project Risks, including current analysis regarding potential impact, and mitigation strategies for each Risk. (Risks are logged and maintained within PlanView)
- 11.2. **Risk Escalation.** The Project Manager must evaluate each Risk, and if the Project Manager does not feel confident the Risk will not be avoided, to the satisfaction of all parties, the Risk should be escalated to management for avoidance and/or remediation.

12. Project Change Management

Change management includes processes to ensure the Project includes all work, time, and required scope required to produce the required deliverables.

- 12.1. **Scope and/or Schedule Change.** The Project Manager must manage scope and/or schedule change. Changes should be documented and approved. (Changes are logged and maintained within PlanView.)

13. Project Time Management

Time management includes processes to ensure timely Project completion.

- 13.1. **Baseline Project Work Plan.** The Project Work Plan must be baselined and locked at the end of Project Design.
- 13.2. **Modifications to Baseline Project Work Plan.** Any changes to the original Project end date requires approval of a scope change (see section 12, *Change Management*).

14. Project Issue Management

- 14.1. **Issue Register.** The Project Manager must maintain a current log of all Project Issues, including current status, ownership, and prioritization of each Issue. (Issues are logged and maintained within PlanView.)
- 14.2. **Issue Escalation.** The Project Manager must evaluate each Issue, and if the Project Manager does not feel confident the Issue will be resolved quickly, to the satisfaction of all parties, the Issue should be escalated to management for resolution.