OMV Aktiengesellschaft

Business Project Management / GT-O
CIO Office / GT-I
Global Solutions IT / FGS-I

Project Management Minimum Standards for Business- & IT Projects

Version 1.2 / 2013

Moving your projects ahead.

Move & More.

About this manual

This manual introduces the Minimum Project Management Standards for Business- & IT Projects within OMV Group.

These standards cover the minimum requirements for project planning, delivery, controlling and closing.

The objective is a common understanding of project management, as well as increasing the successful delivery of Business, IT- & Joint projects.

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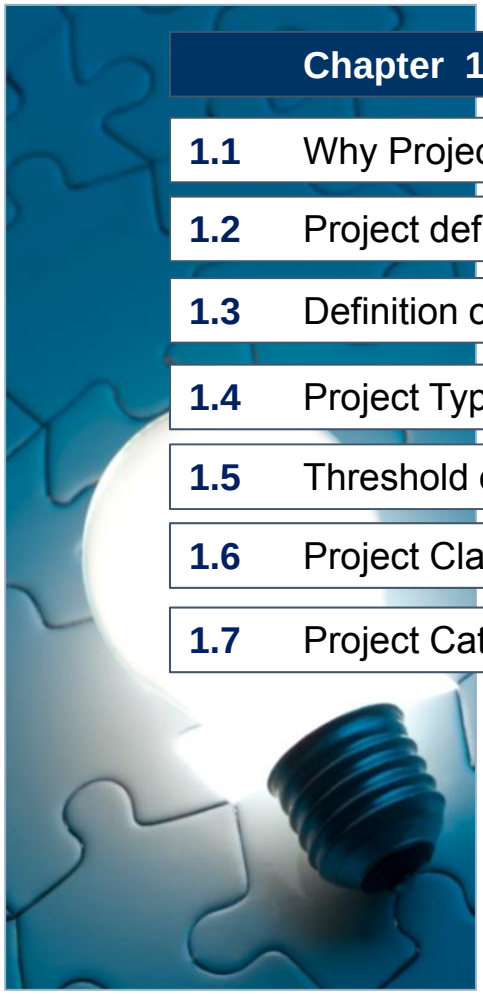
Table of Content – Basics



Project Management helps you to meet your stakeholders' requirements and to manage constraints efficiently

1.1 Why Project Management?

Frustrating & inefficient results WITHOUT project management:

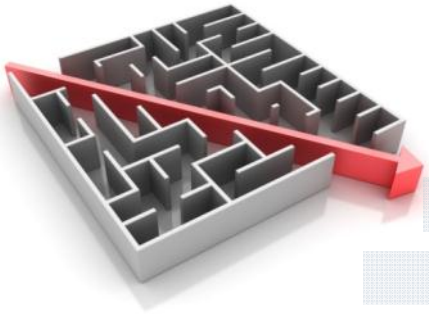
Undetermined goal

Unclear responsibilities

No resource commitment

No clear deadlines and appointments

Successful projects WITH project management:



Clear scope & goals

Determined time period

Defined resources & budget

Clear roles & responsibilities

Risks and issues <u>without</u> project management

- Unclear project assignment resulting in misunderstandings and dissatisfaction
- No commitment to project results
- No transparency about project status
- Wastage of staff & budget on non-profitable projects
- No tracking or steering possible

Benefits for Project Managers

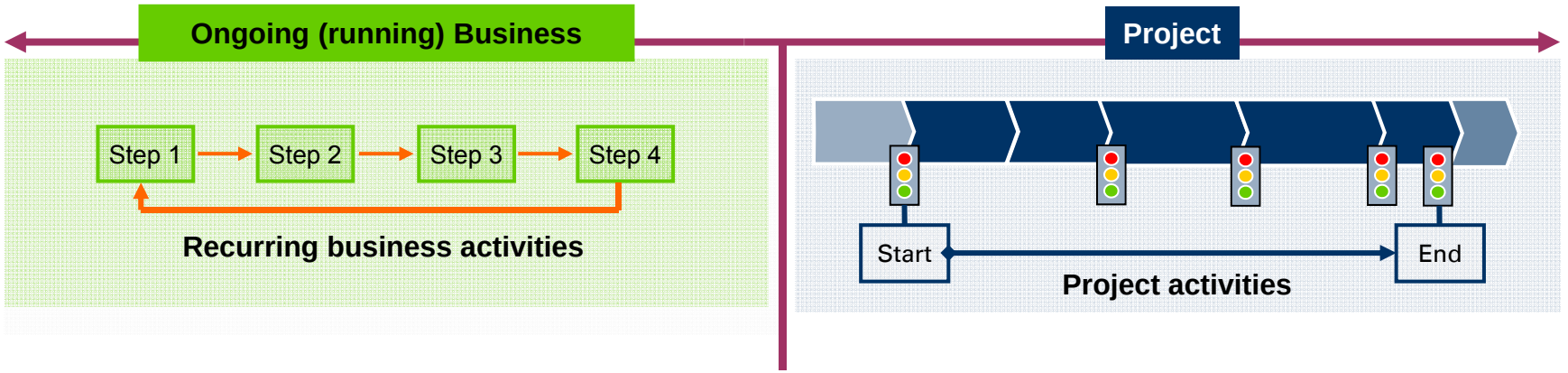
- Clear assignment of what has to be done by whom until when with what kind of resources
- Explicit documented management commitment
- Impacts of changes are transparent and traceable
- Prompt identification of project risks

Benefits for management

- Basis for efficient project steering and controlling
- Efficient usage of resources
- Reduction of costs and time delays

Ongoing business reflects the daily routine work, while projects are temporary and unique

1.2 Project Definition



- Permanent endeavors that produce repetitive outputs
- Process-oriented character which follows existing procedures
- There is a clear definition (e.g. job description) of activities

Examples:

- Financial accounting or management
- Production process
- Ad-hoc analyses
- Sales processes
- Logistic processes

- A temporary endeavor with a clear start and end undertaken to create an unique product, service or result
- Activities of higher complexity with uncertainties requiring cooperation of a team for a limited timeframe

Examples:

- Development of new products and services
- Re-organization/Re-structuring
- Implementing new business processes
- Post merger integrations
- Cost efficiency initiatives
- Research & Innovation

A project is a temporary endeavor with a certain complexity undertaken to create a unique product, service or result

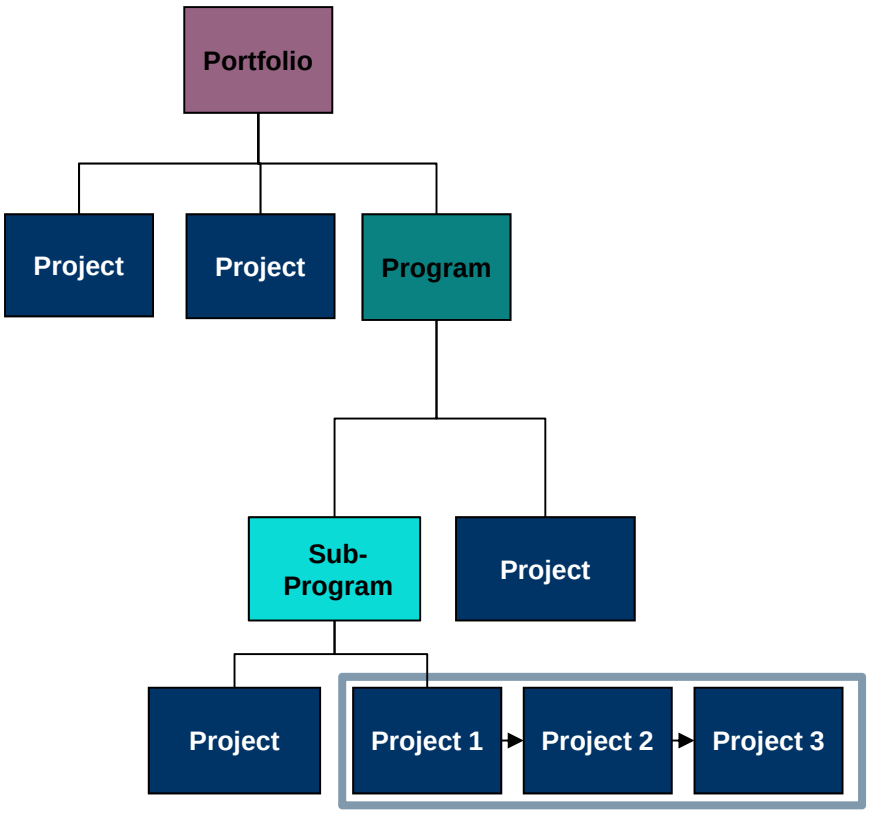
1.2 Project Definition

A project is defined as temporary endeavour undertaken to create a unique product, service, or result which has the following characteristics:

- The objective/ scope and deliverables can be clearly specified
- An own dedicated (project) budget/ assigned internal resources exist
- Project start and end dates can be clearly defined

Projects have to be distinguished from portfolios and programs

1.3 Definition of general terms



Portfolio

A portfolio is a collection of projects or programs which are grouped together to achieve strategic business objective

Program

A program is a group of related projects with a common objective, clustered together to ensure a level of control that would not be possible if the projects were separately managed. A project can only be assigned to one program at a time.

Sub-Program

A big program sometimes can be divided into sub-programs, to make the program more manageable

Project Chain

A project chain is a set of sequential projects, for example a pilot and follow-up project

The project landscape in OMV is split into different project types which are regulated by different directives

1.4 Project types

IT Projects	Joint Projects	Business Projects
Projects which have IT impact or generate IT output owned by OMV IT to address topics of IT-efficiency, availability, reliability, maintainability or capacity.	Joint Projects are all projects which combine the tasks of Business- & IT projects; i.e. • Business Projects causing IT impact or having IT output • IT projects causing impact on the operational or organizational structure of the company	Projects which result in a change of the existing operational or organizational structure of the company or which develop concepts which will have an effect on the operational or organizational structure in their implementation.

Capital Projects

>20m€ | **<20m€**

G-T 001 Project Management Minimum Standards
for Business- & IT Projects

>20m€	**<20m€**
GT-M 001 Capital Project Mgmt. Directive	Divisional Regulations

The scope of directive G-T 001 covers all project-activities which exceed a certain threshold

1.5 Threshold of G-T 001 directive

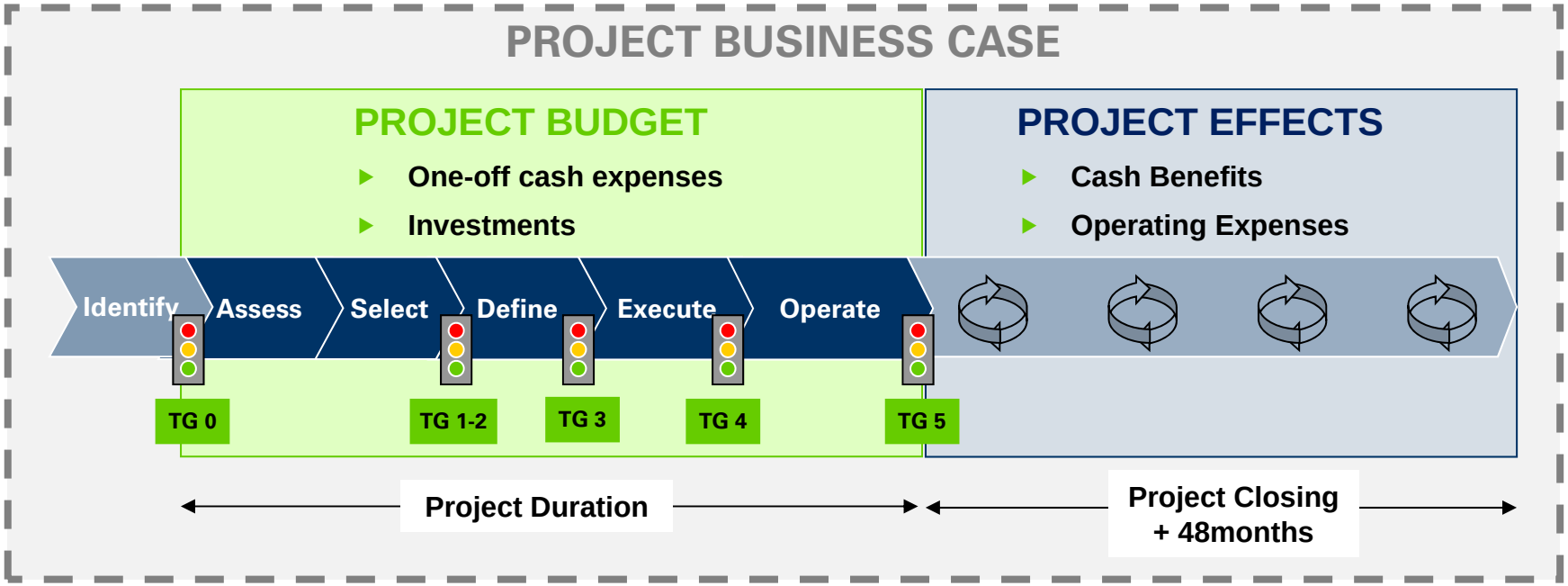
	IT Projects	Joint Projects	Business Projects
IN SCOPE	**Projects <u>>50.000 EUR</u> project budget**		
	OR any IT-/Joint Project or Initiative <u><50.000 EUR</u> which • contains OPEX and CAPEX <u>or</u> • has an impact on enterprise architecture a/o information security		
OUT OF SCOPE	**IT investments** • Pure CAPEX investments for standard IT items **Operational tasks** • Functional change requests on existing IT services or IT tasks • IT consultancy <50tEUR **Operational change requests** • "technical" changes to existing services covered within ASP volume <50tEUR	** The IT objects listed as out-of-scope are provided to simplify, reduce administration and streamline small or standard initiatives. For borderline cases on those objects the decision is made by the IT Business Partner.*	

When the project criteria are met, and the project budget is within the defined scope it is the Project Owner's responsibility to initiate a project which must comply with the Project Management Minimum Standards for Business- & IT Projects.

In addition, line management can take the decision to handle projects below this threshold according to this directive if it is seen as beneficial.

The project budget forms one part of the overall project business case and covers all expenses & investments from TG 0 to TG 5

1.5 Threshold of G-T 001 directive



In case of a significant share of CAPEX costs, the Business Case evaluation period might be longer reflecting the lifetime of the delivered assets. This decision will be taken by the Controlling organization on a case-by-case basis.

The Project Classification gives an indication regarding the tailored governance requirements per project

1.6 Project Classification

Criteria / Class	Strategic Relevance [1]	Budgeted costs[1]	Expected gross benefit[1]	Project complexity[1] [2]
	Indicates whether the objective of a project aims at fulfilling strategic targets on department-, Business Unit, division- or group level	Total costs of a project (CAPEX and OPEX) and any other additional operating costs during 48 months after project closing	Sustainable annual monetary benefit of the project	Expected complexity or any unknown factors which might influence the project execution or its result
A	**Very high** Targets deriving from OMV Group strategy/ relevant for reporting to OMV/ Petrom Executive Board Level	> 5 mn €	> 20 mn€	
B	**High** Targets deriving from Division strategy/ relevant for reporting to respective Board Member Level	> 0,5 mn €	> 5 mn€	**High** complexity/risk
C	**Medium** Targets deriving from Business-Unit- or Service Line strategy / relevant for reporting to BU Head only	> 100.000 €		**Medium** complexity/risk
D	**Low** Targets deriving from department strategy/ relevant for reporting to Department Manager Level only	<= 100.000 €		**Low** complexity/risk

[1] *The Project Class is determined by the highest applicable ranking of individually assessed criteria*

[2] *For further explanation see next page*

Project Classification: Supplementing information for determining the Project Complexity Dimension

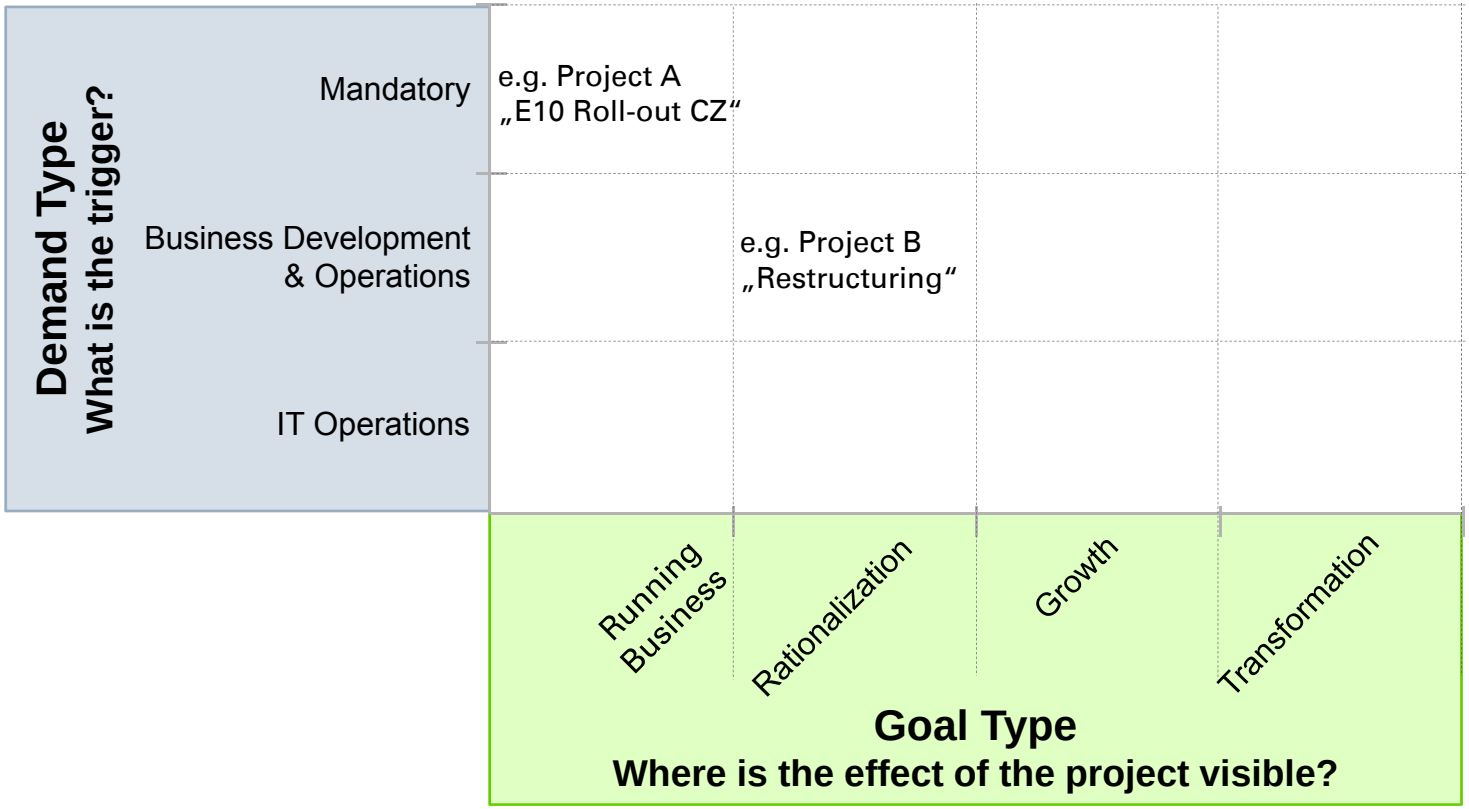
1.6 Project Classification

PROJECT COMPLEXITY	High complexity/ risk	Medium complexity/risk	Low complexity/risk
1. Process & Organization impacts What is the organizational impact of the project	Project result will highly impact current core or cross divisional business processes	Project has minor impact on current core or cross-BU business processes	Project has no impact on current business processes
2. External driven deadline	Project duration >24months or externally driven fixed deadline	Project duration 6-24months or internally driven deadline	Project duration <6 months / and deadline could be moved
3. Expected Acceptance which acceptance can be expected from the project stakeholders?	Negative	Neutral	Positive
4. Scope clarity and process novelty To what extent is the scope clear, defined and accepted?	Unclear scope or new process	Some open topics to be aligned or isolated process	Clearly defined and accepted, defined and repeatable process
5. IT architectural risk are there technical risks which could de-stabilize services?	Project involves many critical components	Few architectural elements are affected	No technical impact
6. Interdependencies are there important pre-requisites before realizing this project or are the project results based on results of other projects?	Project highly dependent on several pre-requisites or projects	Project slightly dependent on some I pre-requisites or projects	No significant pre-requisites
7. Regulatory or legal risks Are there any legal or regulatory risks associated with the project that are difficult to mitigate?	Unknown risks or high risks and complex mitigation plan	Minor risks in mitigation	None
8. Resource availability Does the project involve numerous resources or contribution by different organizational units	Project effort > 1.000 person days or multiple key resources involved	Significant contribution of several departments	Intra-departmental project
9. Other Any other risks & complexity factors such as ownership, budget availability, etc.			

For better portfolio management all Business- & IT projects are clustered into defined Demand- and Goal types

1.7 Project Categorization

Several combinations of Demand + Goal types are possible



Decision tree to define the Project Demand Types

1.7 Project Categorization

Is the project triggered by
- critical legal or regulatory requirements?
- or, mitigating a severe and immediate threat on disruption of critical business operations,
- or is triggered by critical HSSE or Info Security requirements?

✓ YES →  **Mandatory**

× NO ↓

Is the project developing business operations through
- business process development/ - optimization or
- revenue enhancement, cost reduction or
- post merger integrations or
- research & innovation?

✓ YES →  **Business Development Operations**

× NO ↓

Is the project enhancing IT Operations through focusing on
- IT operational efficiency or
- IT risk management or
- IT innovation

✓ YES →  **IT Operations**

Decision tree to define the Project Goal Types

1.7 Project Categorization

Is it revolutionary?
There is potential for new markets or industries, or displacement or elimination of existing industries.

✓ YES → **TRANS-FORMATION**

× NO

Does it make money?
The situation is about enhancing, extending or differentiating existing business capabilities related to products, services or markets

✓ YES → **GROWTH** (top-line)
RATIONALIZATION (bottom-line)

× NO

Does it keep the lights on?
The situation is about supporting or improving essential, non-differentiating business functions that do not directly produce revenue.

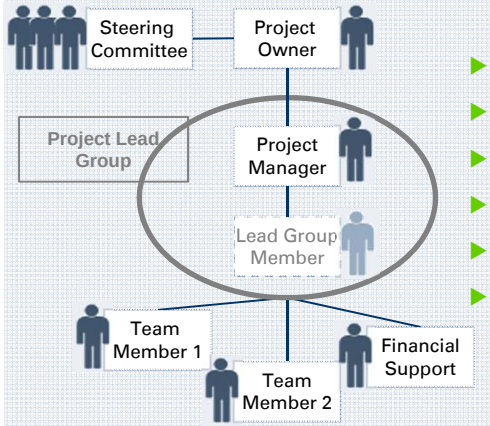
✓ YES → **RUNNING BUSINESS**

Table of Content – Project Organization

A project organization is a temporary structure with roles & responsibilities clearly detached from the line organization

2.1 What is a Project Organization?

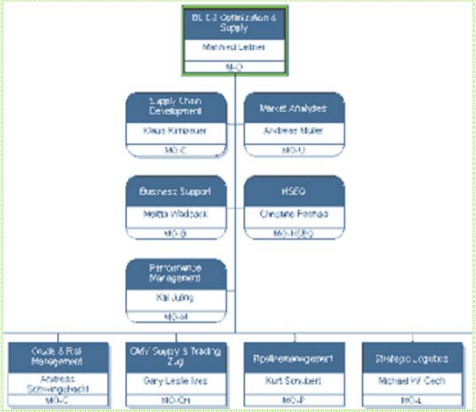
Project Organization



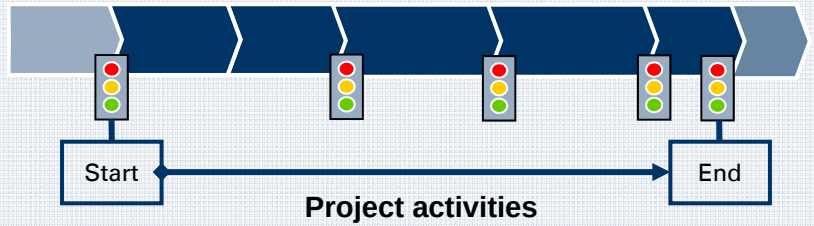
- Project Owner
- Steering Committee
- Project Manager
- Lead Group Member
- Project Team Members
- Financial Support

Line Organization

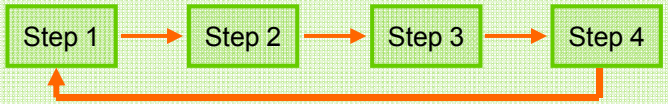
- Line Manager
- Specialist
- Expert



Project



Ongoing (running) Business



Recurring business activities

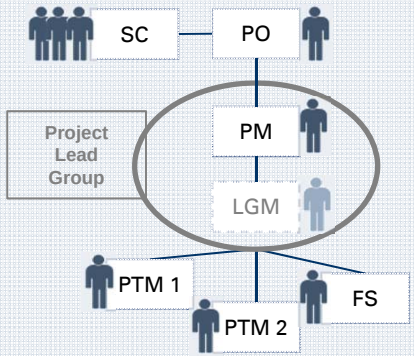
A project is influenced both by the temporary project organization as well as by the permanent line organization

2.1 What is a Project Organization?

Project Organization

Responsible for directing, managing and delivering the project

- Project Owner (PO)
- Steering Committee (SC)
- Project Manager (PM)
- Lead Group Member(LGM)
  (only for projects with significant contribution of Business- and Global Solutions organization (Fin. or IT)
- Project Team Member (PTM)
- Financial Support (FS)



Line Organization

Quality Assurance Roles

Ensure data quality and monitor compliance with Project Management Minimum Standards

- Project Coordinator/ PMO (ProCo/ PMO) — ProCo/ PMO
- Enterprise Architecture/ Info. Sec (EA/ Info Sec) — EA/ Info Sec
- Tollgate Facilitator (TGF) — TGF

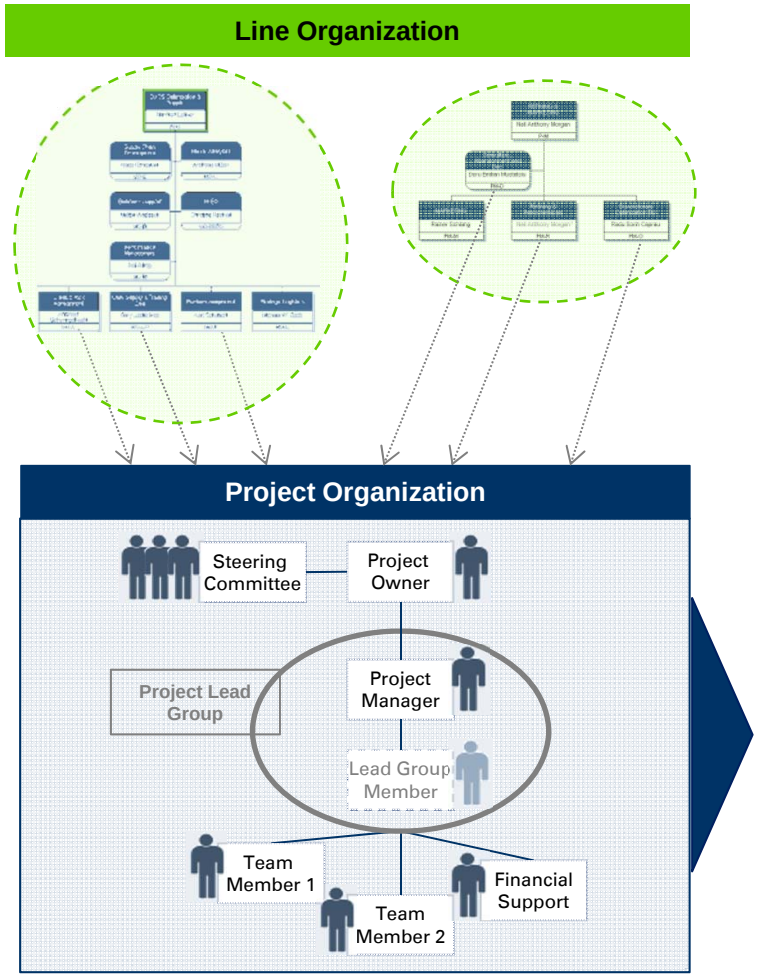
Tollgate Committee Roles

Review if the project is aligned with the overall business strategy

- Finance/ Controlling — F/C
- CIO Office — CIO
- Global Solutions — GS

For the duration of the project the affected employees functionally report within the project organization

2.1 What is a Project Organization?



Characteristics of the Project Organization:

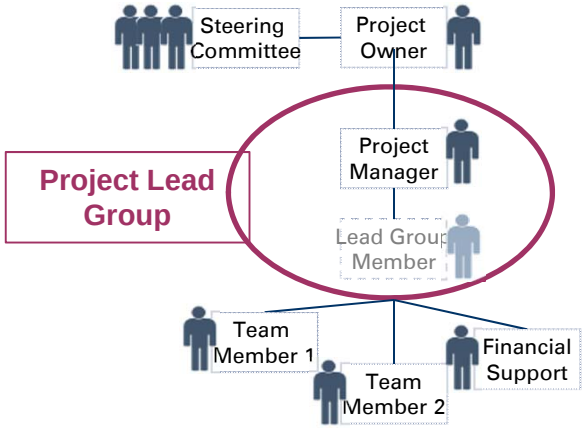
- **Temporary structure** to be created for each project
- Clear functional separation and **detachment from the line organization**
- The consequence: **technical and functional subordination** of Project Team Members to Project Manager with regards to project topics
- If necessary, further specification of roles must be carried out at the beginning of the project

Minimum requirements:

- Each project must necessarily have **one Project Owner** and **one Project Manager**
- The Project Owner always comes from within OMV Group
- **Projects with significant contribution of Business- and Global Solutions organization (Finance or IT**) must have an appointed **Lead Group Member in addition** to the Project Manager
- Project Manager & Project Team Members may come from within or outside the company
- If required, a Steering Committee can be appointed (mandatory for class A projects)

Specific rules apply towards the organization of projects with contribution from Business and Global Solutions

2.1 What is a Project Organization?

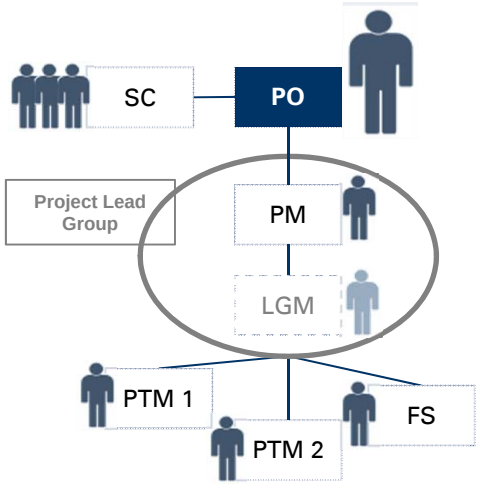


ONE Project with ONE Project Owner and ONE Business Case

- **The Project Owner** is the **main beneficiary** of the project results of the requesting business organization
- **The Project Manager** is staffed **based on required skills & experience** and could come from **Business- or from Solutions Finance or IT organization**
- As counterpart to the PM it is mandatory to assign a **Lead Group Member,** who has the duty **to support the integration of his area of responsibility** under the lead of the Project Manager. (see ***page 24*** for further details)
- **Strategic decisions** are taken on by **Project Owner** supported by **Steering Committee**, no diagonal steering from Line organization
- Project Manager & Lead Group Member take part **as standard participants** in **Project Owner/ Steering Committee Meetings**
- **The final set-up of the project organization is approved by the Project Owner at Tollgate 1-2 and endorsed by the Tollgate Committee Roles**

The Project Owner (PO) is the single-point accountable for all aspects of the project towards the rest of the organization

2.2 Project roles – Project Owner



Responsibilities & Tasks

- **Single-point accountable** for all aspects of the project to the rest of the organization such as
  - overall project outcome
  - realization of related benefits
  - leading the project through the approval process until formally approved
  - provide confidence to stakeholders that requirements will be met
- Defines the general framework and **takes strategic decisions in** the project
- Supports the project and the Project Manager **in all cases of escalation and crises** with appropriate **supervision and strategic steer**
- PO acts as the **chairman of the Steering Committee**
- **Appoints the Project Manager** and further SC members in agreement with the Project Manager
- Mandatory member of physical tollgate meetings
- PO is fully accountable for TG presentation and can appoint PM to lead through the TG presentation

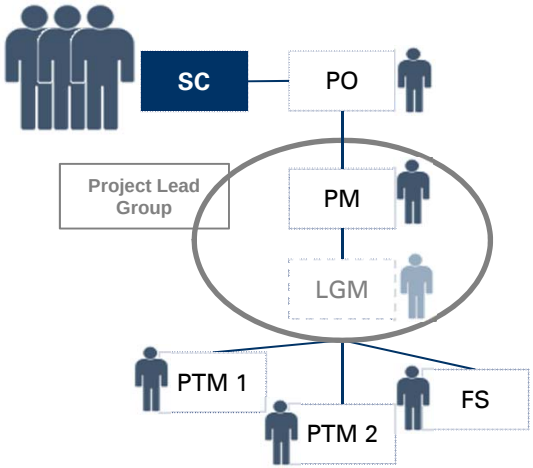
Criteria

To appropriately reflect the requirements of a project and to ensure he has the necessary formal power to make final decisions the following levels for staffing the PO are recommended

- Class A: Board Member or SVP/ Business Unit Lead
- Class B: SVP or Head of Department/ Service Line Lead
- Class C: Head of Department/ Service Line Lead or Department Manager

The Project Steering Committee (SC) assists the PO with the governance of the project and helps him to take quality project decisions

2.2 Project roles – Project Steering Committee



Responsibilities & Tasks

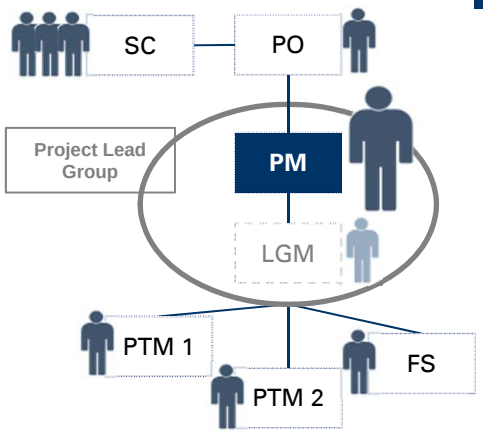
- Supports the PO with **expert opinion to take quality decisions** and **introduces additional viewpoints**
- Is loyal to the project, advise to the project team is given exclusively via the PO through the SC forum (no 'diagonal steering')
- Provides the project team with:
  - **Steer:** Provide forward direction and a vision of success
  - **Supervision:** Being sufficiently close to the project team to understand progress & challenges ahead
  - **Support:** Support project team in cases of project crisis and escalation
  - **Assurance:** PO & SC are accountable for providing confidence to stakeholders that requirements will be met
- The PO has a duty to consult the SC (but not a duty to obey)

Criteria

- Depending on the project class the following roles for appointing a SC apply:
  - Class A: mandatory
  - Class B: recommended if project has a cross-Business Unit impact
  - Class C and D: not recommended
- In general, for projects with a significant influence on more than one Business Unit, appointing a Steering Committee is recommended
- A proper representation of concerned functions should be ensured to provide the necessary expert opinion where applicable (e.g. Finance, HR, Solutions, ..)

The Project Manager (PM) has the operative responsibility to deliver the project results in time, scope & budget

2.2 Project roles – Project Manager



Responsibilities & Tasks

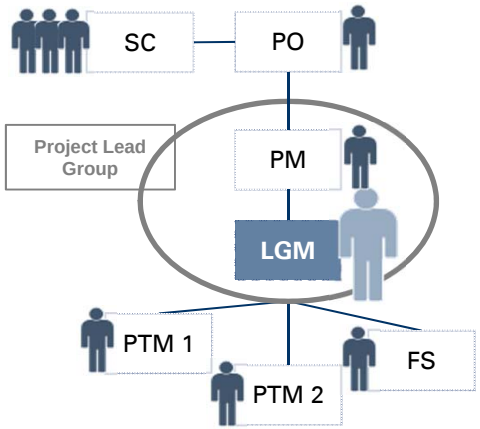
- Reports functionally to PO and is delegated the responsibility for the operative realization of the project by him
- **Delivers the project in time, scope & budget**
- **Selecting & leading the Project Team Members** to manage project planning, execution & controlling, finding resource agreement with their line managers
- **Head of the Project Lead Group** (in case of a project with contribution from Business and Global Solutions)
- for which a Lead Group Member needs to be appointed)
- **Honest & timely communication** of project progress and risks via regular project reporting and presentations to the PO
- Ensures **compliance with Project Management Minimum Standard** and other relevant company directives & regulations
- Applies appropriate **risk management, project communication and –marketing**

Criteria

- Necessary **knowledge** about project management processes such as
  - Project planning & controlling
  - Risk Management
  - Project communication & marketing
- Right level of **personal skills** (leadership-, communication- & presentation skills, …) and **practical experience**

The Lead Group Member (LGM) supports the PM with the successful delivery of the project for all projects with significant contribution of Business- and Global Solutions organization (Finance or IT)

2.2 Project roles – Lead Group Member



Responsibilities & Tasks

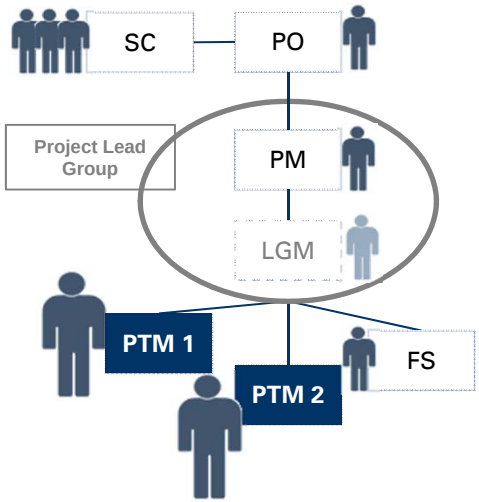
- Reports functionally to the PM, together they form the Project Lead Group in projects with significant contribution of Business- and Global Solutions organization (Finance or IT)
- **Counterpart of the PM** to deliver the project successfully via appropriate project planning, execution & controlling
- Supports the PM with **managing the integration of his area of responsibility**, e.g.
  - **To support in cases of crisis**, e.g. resource conflicts
  - To ensure **access to relevant information**
  - To develop **honest & timely communication** about project status via regular project reporting and PO/SC presentations
- Participate as **standard member to PO/SC meetings** to support with expert opinion
- Optional member of physical tollgate meetings (decision by PO)

Criteria

- For all projects with significant contribution of Business- and Global Solutions organization (Finance or IT) the definition of a LGM is mandatory
  - If PM is staffed by Solutions the LGM is staffed by Business, or
  - If PM is staffed by Business the LGM is staffed by Solutions
- The LGM should have the necessary **knowledge, personal skills and experience** as required for the respective project

The Project Team Members (PTM) are responsible for planning and executing their work packages in a target-oriented manner

2.2 Project roles – Project Team Member



Responsibilities & Tasks

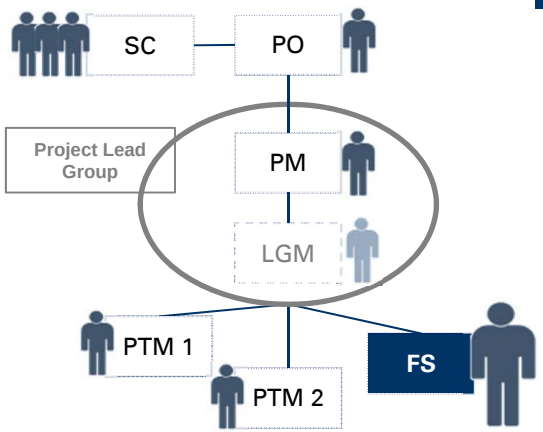
- Functionally reports to the PM (in case of projects with significant contribution of Business- and Global Solutions organization (Fin. or IT): to Project Lead Group headed by PM)
- The PTM has to **deliver his work packages/ tasks in time, scope and budget**
- Carries out **project planning and controlling** for his assigned work packages/ tasks
- Is responsible for **honest & timely communication** of the work package/ task status and any associated risks
- **Manages contribution of additional staff** if this is required to deliver his work packages/ tasks in agreement with the line manager and aligned with the PM/ Project Lead Group

Criteria

- The PTM should have the necessary **knowledge, personal skills and experience** as required for the respective work package/ task

The Financial Support (FS) is responsible for the content of the BC

2.2 Project roles – Financial Support



Responsibilities & Tasks

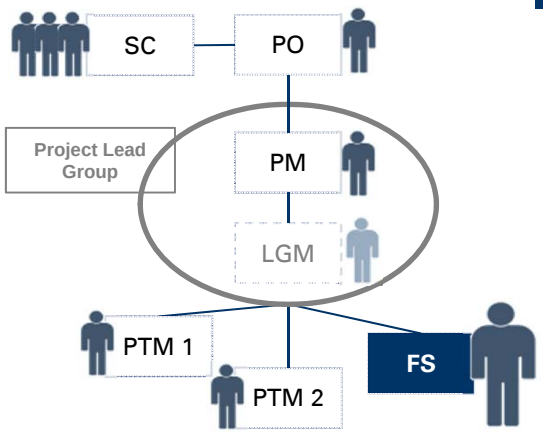
- Project team member who is **responsible for developing and signing-off the content of the project business case calculation.**
- Functionally reports to the PM/Project Lead Group
- **Supports with expert know-how** regarding the calculation of project financials
- By signing-off the Business Case, the FS states that the estimates, under defined level of certainty, make sense and that relevant cost- or benefit factors have been realistically considered
- **Acts as main point of contact to the Finance/ Controlling tollgate role** via alignment within the line organization to
  - provide Business Case details and background information if required
  - raise his concerns regarding the realistic estimation of Business Case assumptions in case of different opinions with the PM/ Project Lead Group
- Is provided access to all necessary information for a plausible Business Case calculation by the PM/ Project Lead Group

Criteria

- The FS should have the necessary **knowledge, personal skills and experience** as required for the tasks as defined his role
- **Staffed by Controlling organization for Class A & B & C projects** (Div. CFOs are nominating the respective Controlling resource).

The Financial Support (FS) is responsible for data quality assurance regarding actual costs

2.2 Project roles – Financial Support



Responsibilities & Tasks for Actual cost tracking

- **Ensure correctness of Budget Plan** in Clarity (match with Business Case)
- Ensure data quality for actual costs within Clarity and SAP
  - In case of cash-out costs, **check that PM has asked for WBS element** creation in SAP
  - Remind PM to **book project costs against WBS** element
  - **Inform Local Controller/Company Controller** about WBS creation
  - **As part of monthly closing procedure**, the Company Controller has to align with Financial Support to **check SAP postings on WBS element and corresponding Clarity figure**
  - **In case of wrong postings, initiate corrections** → ensure data quality in SAP and Clarity

The Quality Assurance Roles are one part of the permanent line organization which is having an influence on the project

2.3 Quality Assurance roles

Line Organization

Quality Assurance Roles

- Project Coordinator/ PMO — ProCo/ PMO
- Enterprise Architecture/ Info. Sec. — EA/ Info Sec
- Tollgate Facilitator — TGF

Tollgate Committee Roles

- CIO Office — CIO
- Global Solutions — GS
- Finance/ Controlling — F/C

Ensure data quality, compliance with OMV IT security standards & enterprise architecture landscape and monitor compliance with Project Management Minimum Standards

The following persons of the line organization take over the Quality Assurance roles per project class:

Role \ Class	Project Type	A	B	C	D
Project Coordinator/ PMO	**Business & Joint**	GT-O Project Coordinator	GT-O Project Coordinator	GT-O Project Coordinator	GT-O Project Coordinator
	IT	PMO Global Solutions IT	PMO Global Solutions IT	PMO Global Solutions IT	PMO Global Solutions IT
Enterprise Architect & Information Security	**Business**	*Not applicable*	*Not applicable*	*Not applicable*	*Not applicable*
	Joint & IT	IT Strategy & Arch. / Info. Sec. & Standards	IT Strategy & Arch. / Info. Sec. & Standards	IT Strategy & Arch. / Info. Sec. & Standards	IT Strategy & Arch. / Info. Sec. & Standards
Tollgate Facilitator	**Business**	*Not applicable*	*Not applicable*	Not applicable	Not applicable
	Joint & IT	CIO Portfolio Mgmt.	CIO Portfolio Mgmt.	*Not applicable*	*Not applicable*

The Project Coordinator (ProCo/PMO) provides quality assurance and monitors compliance with Project Management Minimum Standards

2.3 Quality Assurance roles – Project Coordinator/ PMO

ProCo/ PMO

EA/ Info Sec

TGF

Responsibilities & Tasks

- **Secure transparency** on project- and portfolio level within respective area of responsibility
- **Provide quality assurance** of project data during the project approval process and on monthly level during the project reporting process
- **Monitor compliance** with Project Management Minimum Standards
- **Support and advise Project Managers** with all project management-related questions (scope of G-T 001 directive, Clarity, PM Education Program …)

Criteria

- Mandatory role for all projects
- For Joint projects there is an alignment between
  - ProCo (Business organization) and
  - PMO (Global Solutions IT organization)

  to ensure compliance with Project Management Minimum Standard and IT-specific regulations before final approval

Enterprise Architecture/ Information Security (EA/ Info Sec) ensure the compliance of the project to IT architecture and information security topics

2.3 Quality Assurance roles – Enterprise Architecture/ Information Security

ProCo/ PMO

EA/ Info Sec

TGF

Responsibilities & Tasks

Enterprise Architecture

- States that the IT- or Joint project is compliant with the overall IT Enterprise architecture, IT strategy and application target landscape

Information security

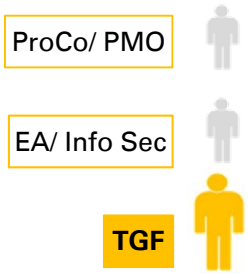
- States that the IT- or Joint project is compliant with the OMV information security standards
- Ensure safeguarding of data depending on its protectioning requirements

Criteria

- Mandatory role for all Joint- & IT projects
- In Assess & select phase they give their guidance in regards to IT Architecture Compliance and Information Security standards
- Part of the project approval workflow at TG 3

Tollgate Facilitator (TGF) is responsible for various Tollgate related tasks for Class A & B Joint- & IT-projects

2.3 Quality Assurance roles – Tollgate Facilitator



Responsibilities & Tasks

- Prepare the agenda of the tollgate meeting based on the nominated projects
- **Technical quality check of the TG presentations,-** (no content responsibility)
- **Facilitate and moderate the Tollgate meeting**
- **Create, distribute and follow- up on the minutes**

Criteria

- Mandatory role for all Class A & B Joint- & IT projects
- Part of the project approval workflow at TG1-2 & TG 3 (resumes the workflow after the TG meeting)

The Tollgate Committee Roles review if the project is aligned with the overall business strategy

2.4 Tollgate Committee roles

Line Organization

Quality Assurance Roles

- Project Coordinator/ PMO — ProCo/ PMO
- Enterprise Architecture/ Info. Sec. — EA/ Info Sec
- Tollgate Facilitator — TGF

Tollgate Committee Roles

- Finance/ Controlling — F/C
- CIO Office — CIO
- Global Solutions — GS

Review if the project is aligned with the overall business strategy

The following persons of the line organization take over the Tollgate Committee roles per project class:

Role \ Class	Project Type	A	B	C	D
Finance/ Controlling	**Business**	• Divisional CFO (OMV) • Or: Business Partner Controlling (Petrom)	• Divisional CFO (OMV) • Or: Business Partner Controlling (Petrom)	• Divisional CFO (OMV) • Or: Business Partner Controlling (Petrom)	*Not applicable*
	Joint & IT	• OMV CFO (OMV) • Or: Petrom CFO (Petrom)	• OMV CFO (OMV) • Or: Petrom CFO (Petrom)	• Divisional CFO (OMV) • Or: Business Partner Controlling (Petrom)	*Not applicable*
CIO Office	**Business**	*Not applicable*	*Not applicable*	*Not applicable*	*Not applicable*
	Joint & IT	CIO	CIO	Business Partner IT	Business Partner IT
Global Solutions	**Business**	*Not applicable*	*Not applicable*	*Not applicable*	*Not applicable*
	Joint & IT	• BU Lead IT (location specific	• BU Lead IT (location specific	Service Int. Manager	Service Int. Manager

The Finance/ Controlling Tollgate role (F/C) confirms that the project is in line with the overall divisional/group cost-benefit structure and priorities

2.4 Tollgate Committee roles

F/C

CIO

GS

Responsibilities & Tasks

- Gives a general commitment to the **plausibility of the Business Case calculation** with regards to the realistic consideration of costs and benefits
- Confirms that the projects is **in line with the overall divisional/ group cost-benefit structure and priorities**

Criteria

- Mandatory role for all Class A/B/C projects at TG 1-2 and TG 3
- For Class D projects the role is assumed by the Project Owner

The CIO Office Tollgate Committee role (CIO) provides guidance to the project from a group-IT perspective

2.4 Tollgate Committee roles

Responsibilities & Tasks

- Assures that **potential synergies with other business areas or technologies** have been properly accounted for
- If multi-options available - **supports to identify preferred option(s)**
- States that the described project
  - **is feasible**
  - **in line with group IT strategy** and
  - **fits in the approved functional IT budget/ MTP** for project budget and project effects (operational) expenses

Criteria

- Mandatory role for all Joint- & IT projects at TG 1-2, TG 3, TG 4 & TG 5

The Global Solutions Tollgate Committee role (GS) confirms the feasibility of the project out of an IT service provider perspective

2.4 Tollgate Committee roles

F/C

CIO

GS

Responsibilities & Tasks

- Confirms that Global Solutions as service provider
  - is **able to deliver the scoped deliverables**
  - **under the described conditions**
  - **considering Global Solution's budget and resources**

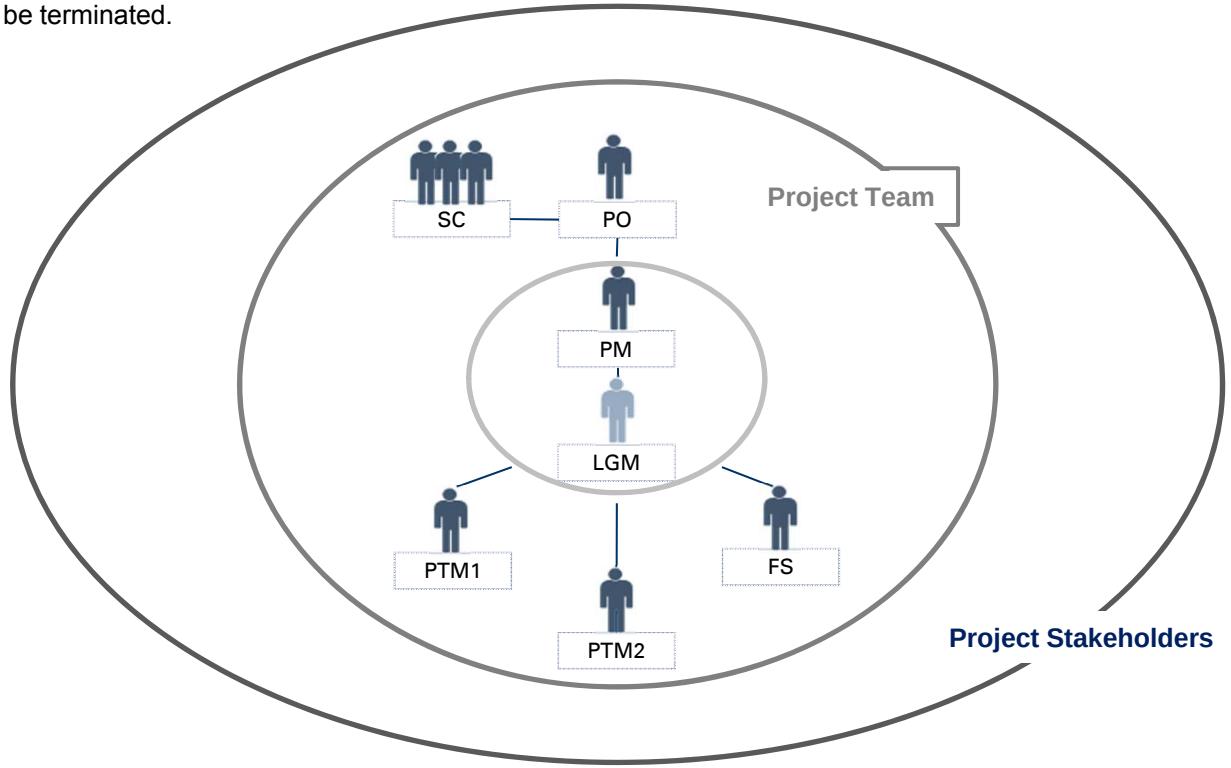
Criteria

- Mandatory role for all Joint- & IT projects at TG 1-2, ,TG 3,TG 4 &TG 5

Stakeholder are entities actively involved in the project, or whose interests may be positively or negatively affected by the project result

2.5 Stakeholders

- When identifying stakeholders it is not enough to focus on the formal structure of the organization, but it is necessary to have a look at informal and indirect relationships which may influence the project
- All stakeholders are not equal and every stakeholder has his own expectations and requirements and he needed to be handled the way he expects.
- Knowing them, their need, expectations and requirements increases the chance of project success and if any important stakeholder is missed then in later stages the project manager may face many problems; e.g. causing delay in project, cost increase and in the most severe case – project may be terminated.



Stakeholder are entities actively involved in the project, or whose interests may be positively or negatively affected by the project result

2.5 Stakeholders

- There are many classification of the stakeholders, the most important and broad used is:
  - Stakeholders involved, affected or exerting influence - PM, PO & team members
  - Stakeholders affected - the users, community adjacent to the project, etc.
  - Stakeholders exerting an influence – media, etc.
- Stakeholders can also be positive or negative.
  - A positive stakeholder sees the project's positive side, benefited by its success and helps the project team to successfully complete the project.
  - A negative stakeholder sees the negative outcome of the project, may be negatively affected by the project and he will be less likely to see your project being finished successfully.
- Related to the organization, stakeholders can also be:
  - Internal Stakeholders: internal to the organization; e.g.:
    - Project Owner
    - Project/ program/ portfolio Manager
    - Internal customer or client
    - Project Team
    - Management
    - other's groups manager internal to organization
  - External Stakeholders: external to the organization; e.g.:
    - External customer or client
    - End users of project's outcome
    - Supplier, sub-contractors
    - Government
    - Local communities
    - Media

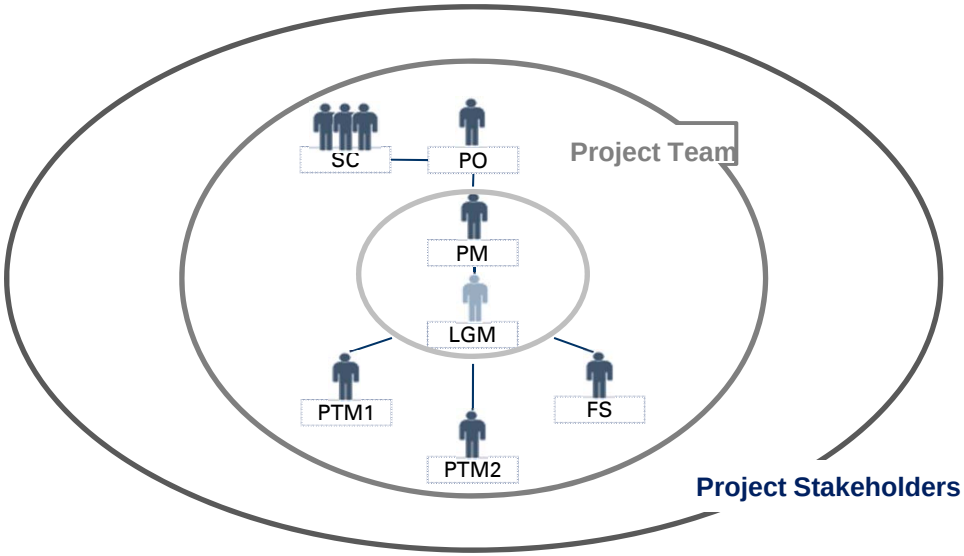
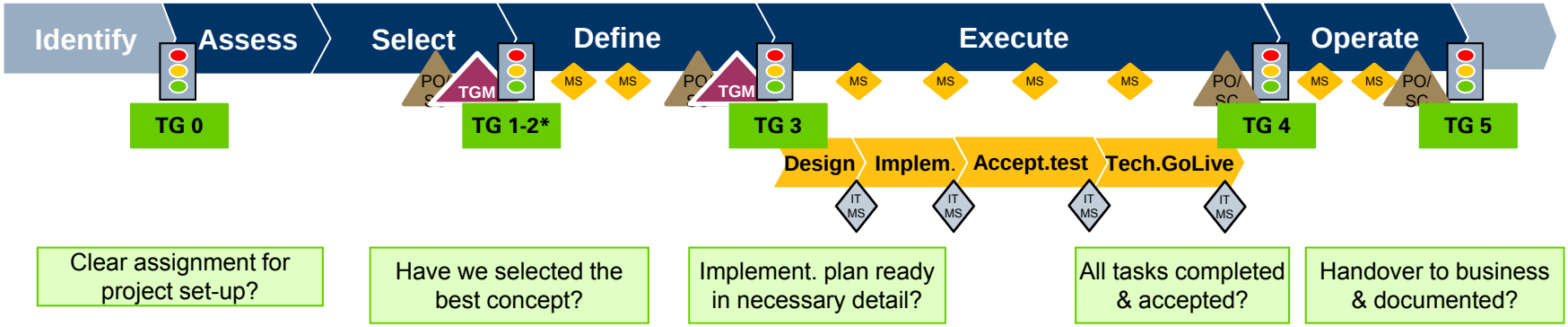


Table of Content – Project Life Cycle

The Project Lifecycle consists of defined phases with tollgate approvals, PO/SC meetings and a minimum number of milestones

3.1 Project Life Cycle – Overview

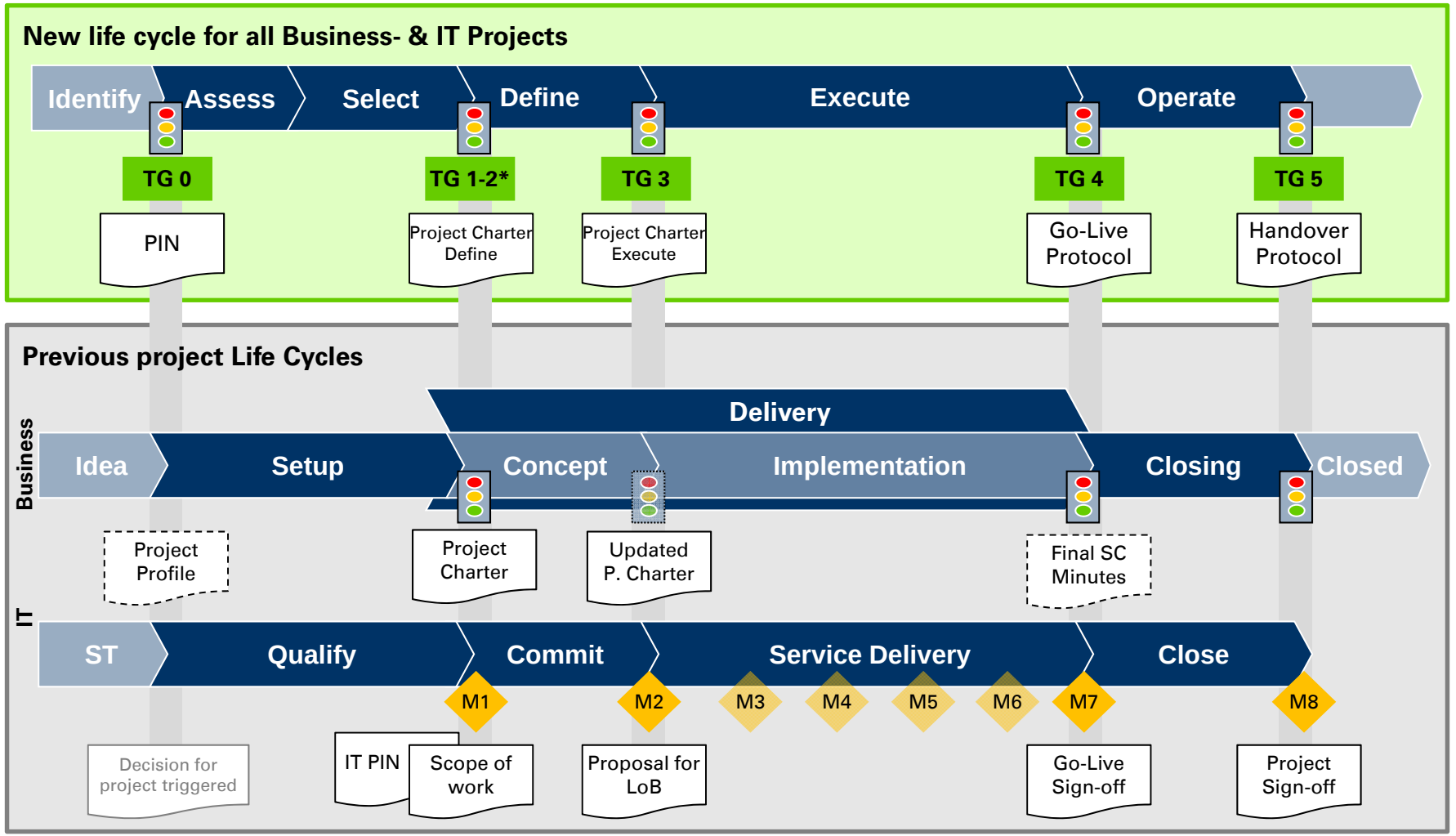


Project Phases	Defined project phases	**Sub-Phases**	IT specific sub-phases for Execute phase for Joint- & IT projects
Milestones	At least 1 milestone every 3 months	**IT Milestones**	IT Specific tollgates handled as predefined milestones
Tollgates	Tollgates with Go / No-Go decisions	**Tollgate Meeting**	After the PO/SC Meeting and before planned tollgates to endorse a decision
PO/ SC Meeting	PO/ SC meetings before planned tollgates to align within project team		

** In case of Class D and Class C projects where no costs for Define phase are required, this might be skipped/ combined with the next TG*

The new project life cycle can be roughly mapped with the former Business- and IT life cycles in terms of sequence & content

3.1 Project Life Cycle – Overview



Project phases provide a logical structure of the project for ease and consistency of project management planning and control

3.1 Project Life Cycle – Overview

Project Phases

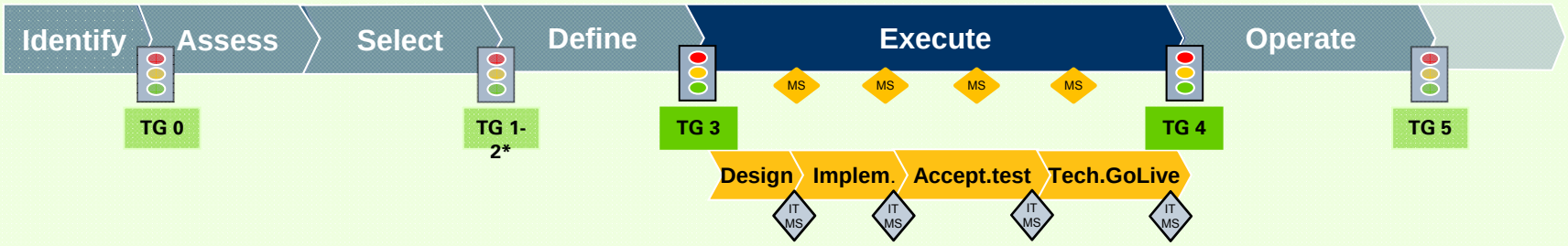
- **Six project phases are used in OMV,** regardless of project type or project size
- They represent the **standard life cycle for all projects in OMV Group**
- Phases end with a formal acceptance via a Tollgate (except Assess phase which is merged together with Select phase)
- Depending on the size of the project or of an individual phase, the project management processes might repeat over the project lifecycle

Project Sub-Phases

For Joint and pure IT projects the following **mandatory sub-phases** exist **within Execute phase:**

- Design
- Implementation
- Acceptance Test
- Technical Go Live

Sub-phases in Execute for all Joint & IT Projects



All these sub-phases are successfully completed by achieving an IT Milestone (described in IT specific standard as e.g. Design completed, Implementation Completed, Acceptance Test Completed, Technical Go Live Completed)

At least 1 milestone every 3 months is required to allow continuous tracking of project progress

MS Milestones

General description:

- A milestone is deliverable or major event in the projects with a defined due date. They might be
  - externally driven ("building permit by municipality received")
  - internally driven (measurable result of a work-package or task)
- Specific milestones will vary according to the type of the project and circumstances, but often include:
  - **Planned project tollgates** (Provide upfront a project assurance plan)
  - **Approvals & Decisions** (Provide acceptance and authority to proceed)
  - **Deliverables** (Provide a measure of progress)
  - **Events** (e.g. project go-live)

Minimum requirements:

- Minimum definition of at least **1 milestone every 3 months**

IT MS IT Milestones

General description:

- IT Milestones are seen as indicator for passing IT sub-phases within Execute phase.
- In case of hardware and software involvement during Joint Business/IT or Pure IT projects, mandatory documents are defined per each IT Milestone
  - Templates and detailed description you'll find in ProMPt (Process Model for Project Management)

Pre-defined IT Milestones:

- Design completed
- Implementation finished
- Acceptance Test completed
- Technical Sign Off completed

A good milestone plan helps to manage and control the project and to communicate the progress to the project stakeholders!

Tollgate approvals represent the 'business decision to proceed' for a project

Tollgates

General description:

- Formal **approval gates at defined points** within the project lifecycle with the objective to review whether a project **is aligned with the overall business strategy**
- They represent the **Go / No-Go decision** for a project to
  - move from one phase to another,
  - stop, pause or resume a project, or
  - approve significant changes of the project plan *(→ Change Requests)*
  - send the project back to repeat previous phases in case of significant changes to the project scope
- At each tollgate a specific focus is put on the relevant questions at this point:
  - **TG 0:** Is there a clear assignment for the project set-up? **→ = the formal project start**
  - **TG 1-2:** Have we looked wide enough? Have we selected the best concept?
  - **TG 3:** Is the Implementation plan ready in necessary detail?
  - **TG 4:** Are all tasks completed & accepted?
  - **TG 5:** Have all results been handed over to the business and documented? **→ = the formal project end**

At some tollgates a physical Tollgate Committee meeting has to take place before the formal electronic TG approval

TGM Tollgate Meetings

Electronic approval workflows:

- In general each TG approval needs to be obtained via the electronic Clarity approval workflow

Physical Tollgate Committee meetings for Class A/B projects

For a pre-alignment & presentation of the proposal to proceed at **TG 1-2** and **TG 3** the following cases exist:

- **Class A/B Joint- & IT projects:** group-wide Tollgate Committee meetings are scheduled in regular monthly intervals for any project which is ready for approval
- **Class A/B Business Projects:** alignment takes place via individually scheduled meetings within the project

Tollgate / Class	TG 0	TG 1-2	TG3	TG 4	TG 5
A	✓ Electronic	✓ Meeting	✓ Meeting	✓ Electronic	✓ Electronic
B	✓ Electronic	✓ Meeting	✓ Meeting	✓ Electronic	✓ Electronic
C	✓ Electronic	(✓) / ✗ Electronic/ n.a.	✓ Electronic	✓ Electronic	✓ Electronic
D	✓ Electronic	✗ Not applicable	✓ Electronic	✓ Electronic	✓ Electronic

 (✓) / ✗ In case no costs for Define phase are required, this might be skipped/ combined with the next TG

Regular PO/ SC Meetings ensure the honest & timely communication of the project progress and -risks within the project

PO/ SC Meetings

General description:

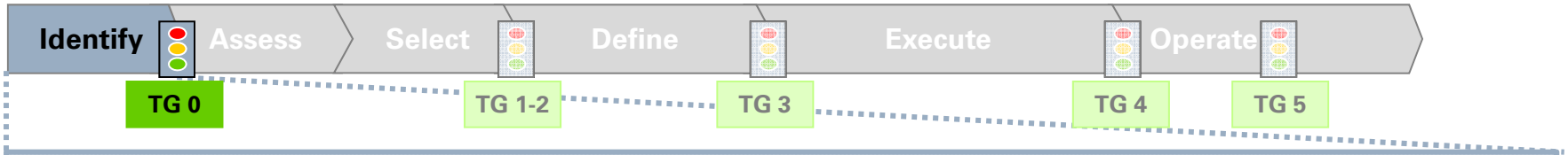
- Regular Project Owner/ Steering Committee (PO/ SC-) Meetings ensure the **honest & timely communication of the project progress and -risks within the project**
- The project team should receive **steering supervision, support and assurance** by the PO, supported/endorsed by the Steering Committee members (if any)
  - **Steering:** Provide forward direction to the team and provide a vision of success
  - **Supervision:** Being sufficiently close to the project team to understand progress & challenges ahead
  - **Support:** Support project team in cases of project crisis and escalation
  - **Assurance:** PO/SC are accountable for providing confidence to stakeholders that requirements will be met

Minimum requirements:

- PO/ SC meetings should take place
  - at regular intervals / depending on project requirements and progress
  - before any planned Tollgate Committee meetings to align the approval proposal between the Project Owner and the Project Lead Group
  - For any necessary decision required for project progress

In the Identify phase an opportunity is identified and spelled out to the (preliminary*) PM

3.2 Project Life Cycle – Identify Phase



Input	Actions	Output
General: ▸ Input of PO	▸ The PO spells out the project idea and appoints a (preliminary*) PM ▸ The (preliminary*) PM summarizes the PO's requests in the *Project Initiation Note (PIN)* ▸ The business case is spelled out with a first "Blue-sky" estimation regarding project costs and benefits (+100/-50% accuracy) ▸ The project assignment should be clear for further setting up the project and for taking the decision that at least one concept will be likely to deliver success * *The preliminary PM is appointed by the demand generating side*	 A B C D **Project Initiation Note**

The PIN contains the initial outline of the project idea, its approval represents the formal initiation of project activities

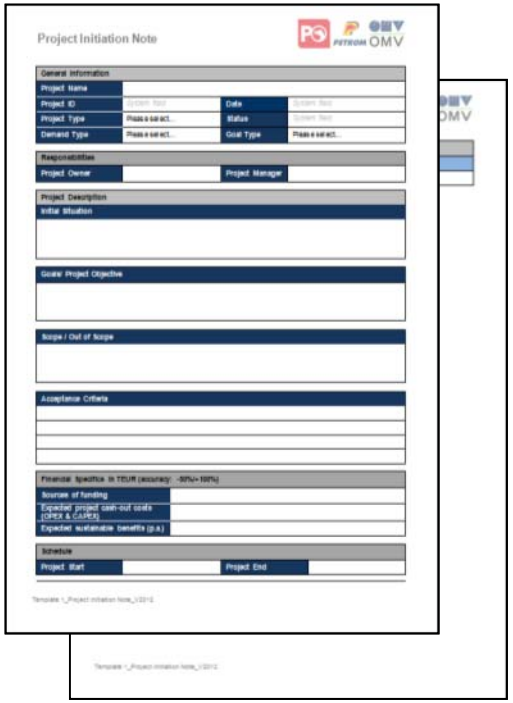
3.2 Project Life Cycle – Identify Phase / PIN

Objectives / Purpose

- **Documentation of all requirements of PO by the (preliminary) PM**
- **Formal initiation of project activities**

What it is

- Clarity-based report which contains the initial outline of the project idea
- An approved PIN is the formal initiation of a project (= project start)
- The data of the approved PIN is used to pre-populate the Project Charter Define data fields which will be then developed in further detail in the next phase of the project



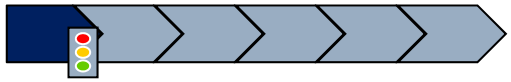
Scope

The PIN is mandatory for the following project classes:

A B C D

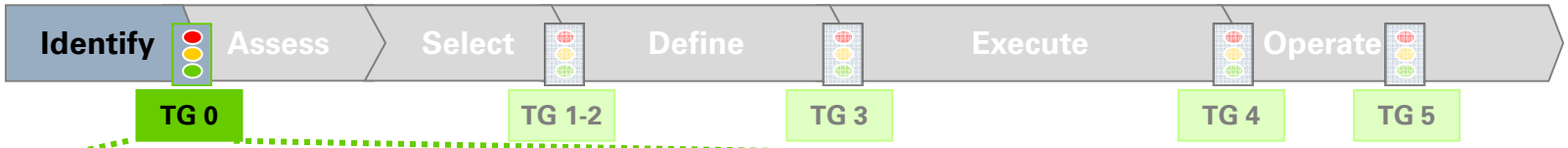
Life Cycle

The PIN is an output of **Identify phase** and is delivered at **TG 0**



At TG 0 the Project Owner confirms the basic project set-up and gives the approval to further pursue the project idea

3.2 Project Life Cycle – Identify Phase / TG 0



TG 0: Clear assignment for project set-up? Did the preliminary PM correctly summarize the project data?

Confirmation from PO that

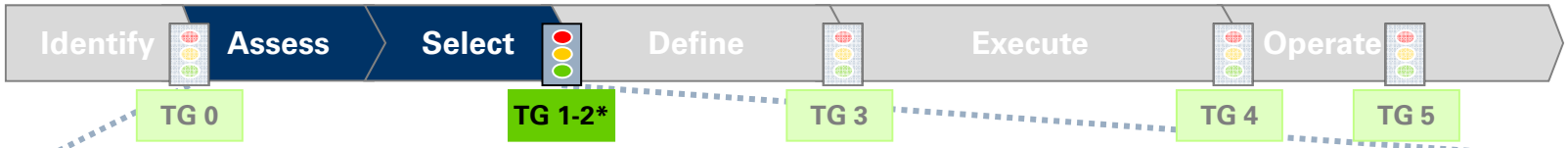
- PM has correctly summarized the project idea (project description, project type, demand type & goal type and acceptance criteria)
- Expected project budget & benefits with an accuracy of +100/-50% are realistic from current point of view
- Assumed project start- & end date are according to PO's estimation/ requirements

Approval steps							
Quality assurance			Tollgate Committee				*Specifics for Business projects*
Project Coord./ PMO	Ent. Arch./ IT Security	Tollgate Facilitator	Project Owner	Finance/ Contr.	CIO Office	Global Solutions	
			✓				-

Tollgate Format				
Class A	Class B	Class C	Class D	*Specifics for Business projects*
✉ Electronic	✉ Electronic	✉ Electronic	✉ Electronic	-

In Asses & Select phase potential options are assessed and the best alternative is chosen

3.3 Project Life Cycle – Asses & Select Phase



Input	Actions	Output

General:
▸ Clear assignment from PO for project set-up
 	
Assurance documents of previous phases:
▸ Project Initiation Note (PIN)
	▸ Definition of project organization & kick-off of project
	▸ Assessment of options for further pursuit *(e.g. market analysis to short-list tools for CRM implementation)*
	▸ Scenario analysis of potential options, proposal of best alternative to PO/SC, selection of best option *(e.g. selection of most suitable tool considering the business need and business cases)*
	▸ Start monthly project status reporting
	▸ Creation of Stakeholder Analysis
	▸ CIO Guidance is provided (for Joint- & IT projects only)
	▸ Adaptation & completion of Project Profile to obtain Project Charter Define, including
	  ▸ Detailed project description
	  ▸ Financial KPIs & financial specifics
	  ▸ Schedule (milestone list)
	▸ Creation of Business Case Define (accuracy: +/-30%)
		 A B (C *)
		Project Charter Define
		  A B (C *)
		Business Case Define
		  A
		Stakeholders Analysis

** In case of Class D and Class C projects where no costs for Define phase are required, this might be skipped/ combined with the next TG*

The Project Charter Define summarizes the first rough project plan based on the selected way forward out of Assess & Select phase

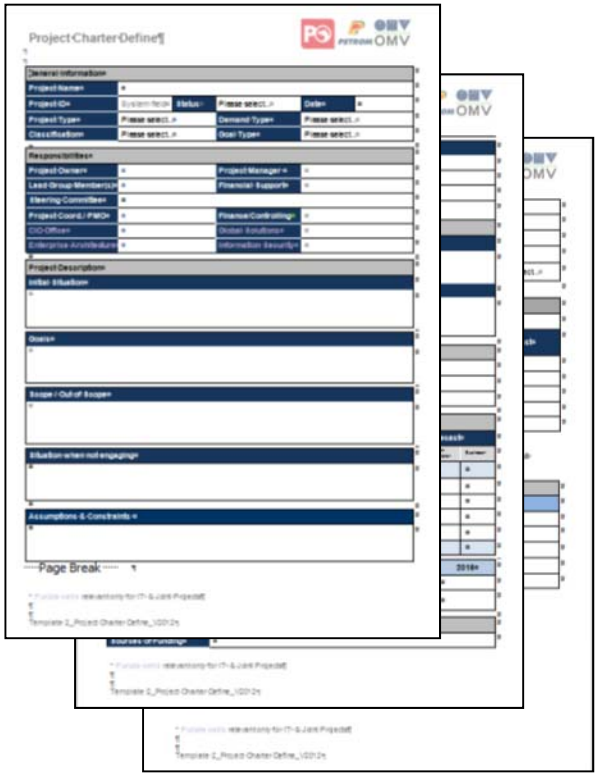
3.3 Project Life Cycle – Assess & Select Phase / PC-D

Objectives / Purpose

- **Obtain formal commitment to**
  - **Project description**
  - **Rough outline of project plan (financials, schedule)**
- **Starting point for further development of detailed project plan**
- **Receive CIO guidance from Enterprise Arch. & Info. Security**

What it is

- Clarity-based rough outline of project plan based on way forward as result of Assess & Select phase
- Completes existing information out of PIN with more accurate/ up-to-date information



Scope

The PC- D is mandatory for the following project classes:

A B (C *)

Life Cycle

The PC-D is an output of **Assess & Select phase** and is delivered at **TG 1-2**

* In case no costs for Define phase are required, this might be skipped/ combined with the next TG

The Business Case Define presents the first financial outline of a project with an accuracy level of +/-30%

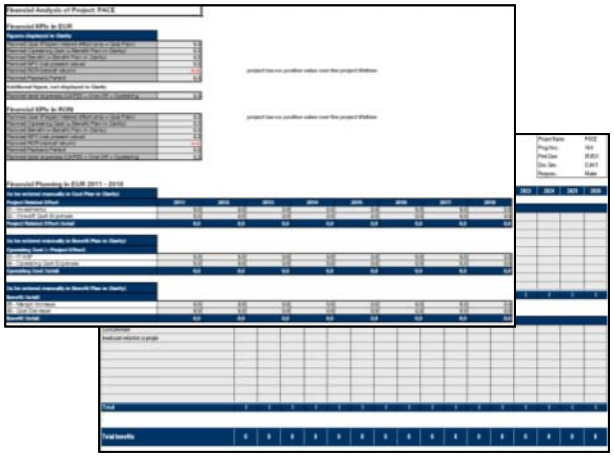
3.3 Project Life Cycle – Assess & Select Phase / BC-D

Objectives / Purpose

- **Obtain formal commitment to**
  - **First rough financial outline of the overall project (+/-30%)**
  - **Detailed project budget for Define phase (+/-5%)**

What it is

- Excel-based template for calculation of the overalls project‘s economic feasibility with an accuracy range of +/- 30%
- Provides an overview of the expected expenditures in Define phase with an accuracy of +/-5%
- Supports the calculation of the project’s key performance indicators:
  - Net present value (NPV)
  - Rate of return (ROR)
  - Discounted payback period (DPP)
  - Project Budget (OPEX, CAPEX)
  - Project Effects (benefits, operating expenses)



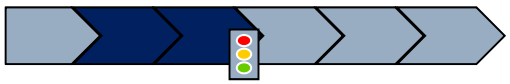
Scope

The Business Case Define is mandatory for the following project classes:

A B (C *)

Life Cycle

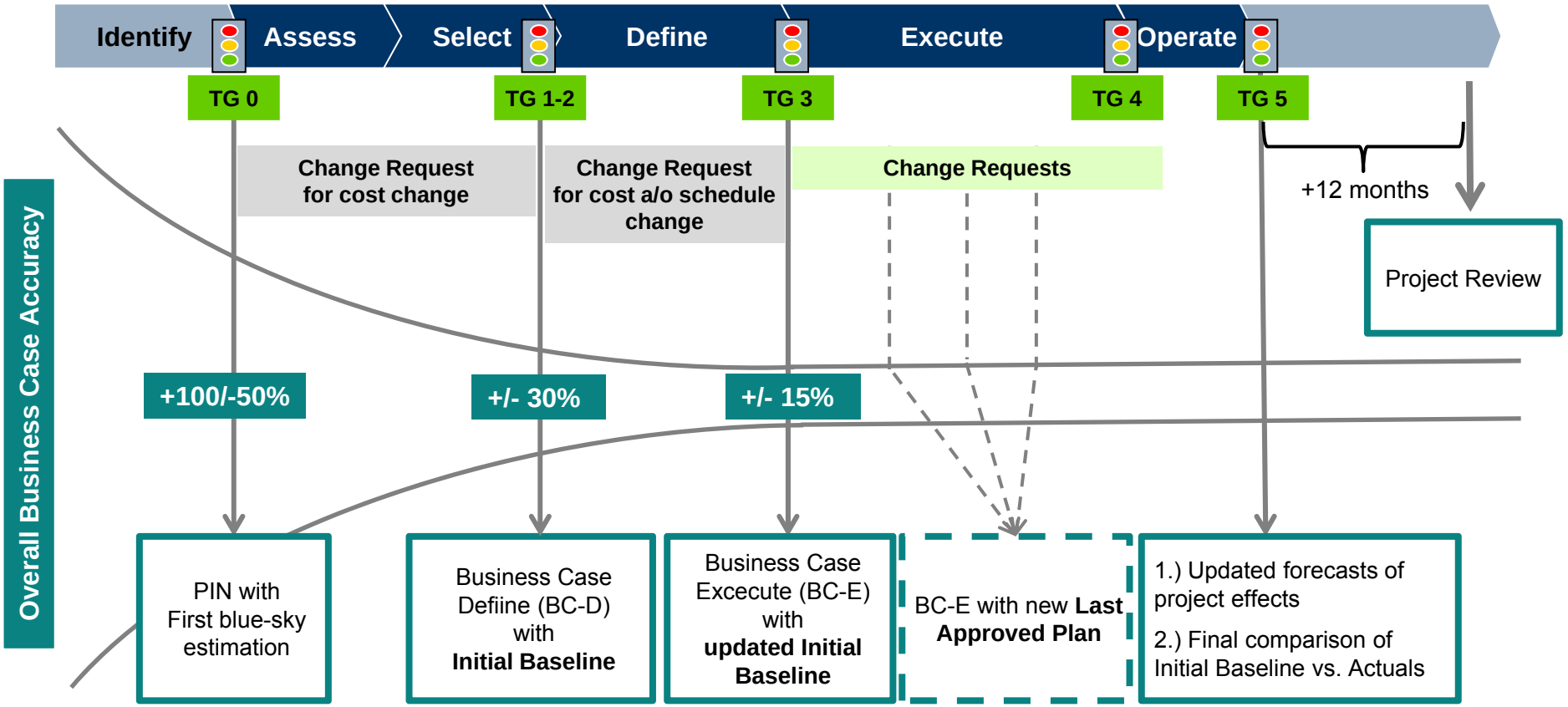
The Business Case Define is an output of **Assess & Select Phase** and is delivered at **TG 1-2**



* In case no costs for Define phase are required, this might be skipped/ combined with the next TG

Throughout the Project Life Cycle the Business Case becomes more accurate

3.3 Project Life Cycle – Assess & Select Phase / BC-D



The Stakeholders Analysis gives an overview of all relevant groups or individuals and their attitude towards the project

3.3 Project Life Cycle – Assess & Select Phase / Stakeholders Analysis

Objectives / Purpose

- **Obtain an overview of all groups and individual persons/companies who might influence the project results and/or be affected by them**
- **Determine strategies to anticipate stakeholders' reactions and plan the necessary steps to convince or appeal to important stakeholders**

What it is

- Excel-based template for an initial identification and prioritization of different stakeholders
- Serves as a basis for developing a Change Management- & Communication plan
- Basis for ongoing management & controlling of stakeholder relationships

Scope

The Stakeholders Analysis is mandatory for the following project classes:

A

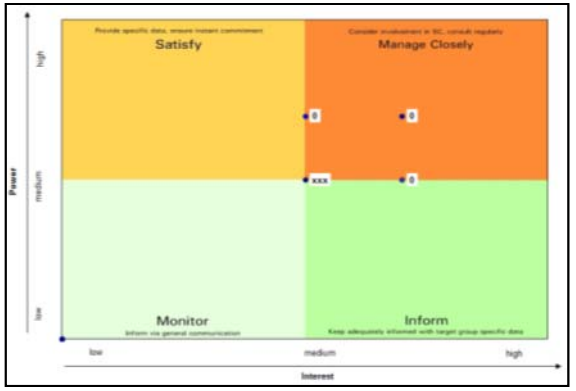
Life Cycle

The Stakeholders Analysis is an output of **Assess & Select Phase** and is delivered at **TG 1-2**

<please overwrite>

A. Stakeholder Analysis

Stakeholder		Impact/ Interest	Power	Comments (+/-)
First Name	Category	Scale 1 to 10		Impact for the stakeholder
xx		5	5	
		5	7	
		7	5	
		7	7	



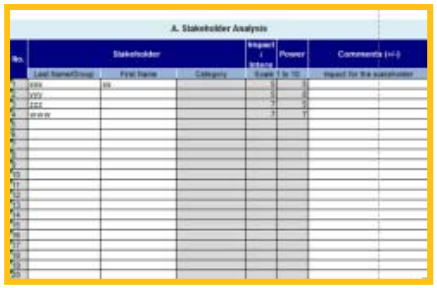
Stakeholders Analysis serves as a basis for developing the Change Management & Communication Plan

3.3 Project Life Cycle – Assess & Select Phase / Stakeholders Analysis

Stakeholders Analysis | **Change Management & Communication Plan**

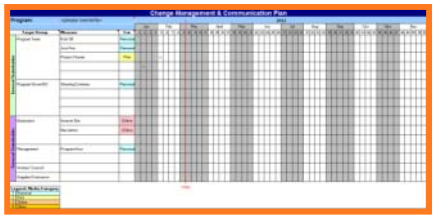
1 - Identify & Analyze Stakeholders	2 - Define measures for the relevant stakeholders	3 - Develop Change Management & Communication Plan	4 - Execute and Control

Stakeholders Analysis



Stakeholders Intervention Plan

Change Management & Communication Plan



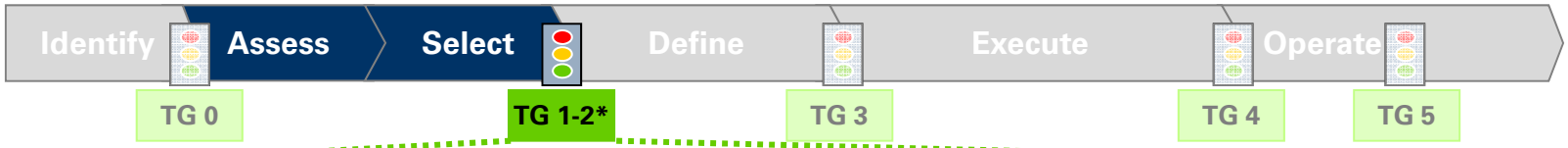
Continuous follow up

Follow your documented Change Management & Communication Plan

- Continuously evaluate the effectiveness of your Change Management & Communication Plan and how the organization is using the information
  - Use formal and informal evaluation measures to determine if the Change Management & Communication plan is effective
  - Examples: meeting evaluation form, temperature check, feedback stakeholders etc.
- Adjust your Change Management & Communication Plan to make sure it remains current and effective
  - Make sure the Change Management & Communication Plan reflects changes in the projects and regarding stakeholders as well as feedback from the evaluation methods

At TG 1-2 the Tollgate Committee confirms that the best alternative has been chosen and that the project is in line with the company strategy

3.3 Project Life Cycle – Assess & Select Phase / TG 1-2



TG 1-2: Have we looked wide enough? Have we selected the best concept?

Confirmation from Tollgate Committee that:

- The project set-up is likely to deliver success and the best alternative has been chosen
- The project concept is in line with the company strategy
- The Business Case is realistically considering the expected costs and benefits
- Stakeholders relevant for a successful project outcome have been considered

Approval steps

Quality assurance			Tollgate Committee				*Specifics for Business projects*
Project Coord./ PMO	Ent. Arch./ IT Security	Tollgate Facilitator	Project Owner	Finance/ Contr.	CIO Office	Global Solutions	* The following roles are not applicable for Business Projects: • Tollgate Facilitator • CIO Office • Global Solutions
✓		✓* (only for Class A/B)	✓	✓ (only for Class A/B/C)	✓*	✓*	

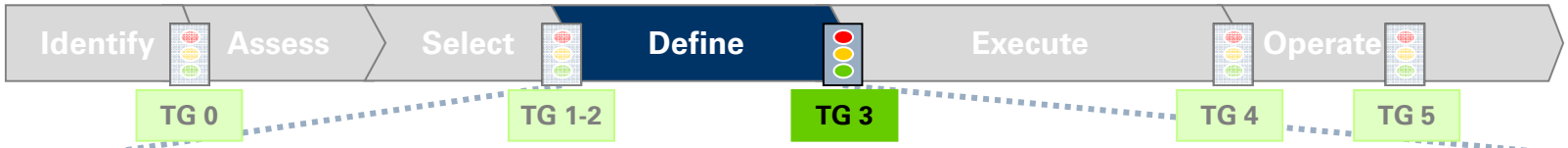
Tollgate Format

Class A	Class B	Class C	Class D	*Specifics for Business projects*
Meeting	Meeting	Electronic*	✗ Not applicable	TG meetings can be handled individually via project SC meetings

** In case of Class D and Class C projects where no costs for Define phase are required, this might be skipped/ combined with the next TG*

In Define phase a detailed project plan is developed which should ensure that everything is in place to ensure successful implementation

3.4 Project Life Cycle – Define Phase



Input

General:

- Decision on option to be further pursuit

Assurance documents of previous phases:

- Project Charter Define*
- Business Case Define*
- Stakeholder Analysis*

**if required for respective Project Class*

Actions

- Adaptation & completion of Project Charter Define to obtain Project Charter Execute, including
  - Deliverables list and detailed acceptance criteria
  - Implementation schedule in necessary detail
  - Resource plan for final project team (PM, LGM, PTMs)
- Creation of Business Case Execute (accuracy: +/-15%)
- Identification of relevant risk and planning of appropriate risk management
- Regular communication of project progress via monthly status reports and regular PO/ SC meetings
- Development of Change management- & communication plan to address the needs of relevant stakeholders

Output

A B C D

Project Charter Execute

A B C D

Business Case Execute

A B

Risk Management Plan

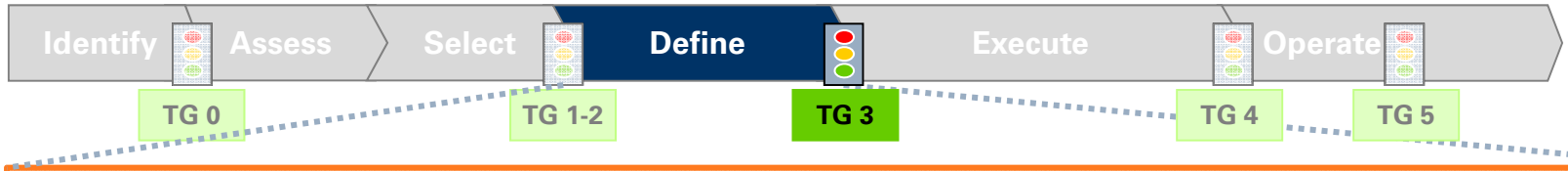
A

Change Management & Communication Plan

In Define phase a detailed project plan is developed which should ensure that everything is in place to ensure successful implementation

IT Specifics*

3.4 Project Lifecycle – Define Phase



Input	Actions	Output
▸	▸ Requirement specification is the basis for project setup and is crucial for defining project expectations, deliverables and final project success. ▸ Security Checklist provides an overview what has to be considered for project out of security perspective. ▸ Every change of a Configuration Item within CMDB (Configuration Management Database) has to be registered with a Request for Change entry in Remedy. Confirmation from Changer about Request for Change has to be attached to collaboration platform. ▸ Those IT specific documents have to be attached to collaboration platform to reach TG.	Requirement specification Security checklist Request for Change

 ** IT Specifics are not part of the G-T Directive 001 PM Standard*

The Project Charter Execute provides the complete overview of the project implementation plan

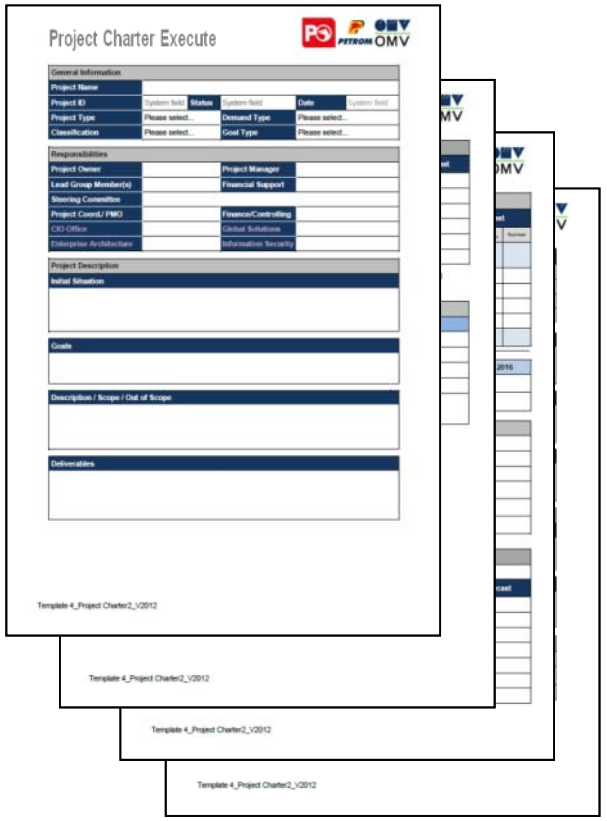
3.4 Project Life Cycle – Define Phase / PC-E

Objectives / Purpose

- **Core document to align the project assignment between PO & PM**
- **Obtain formal commitment to**
  - **Goals, scope, deliverables and acceptance criteria**
  - **Project budget and project effects**
  - **Project schedule**
  - **Resource plan**

What it is

- Clarity-based detailed summary of project plan
- Completes existing information out of PC-D with more accurate/ up-to-date information



Scope

The PC-E is mandatory for the following project classes:

Life Cycle

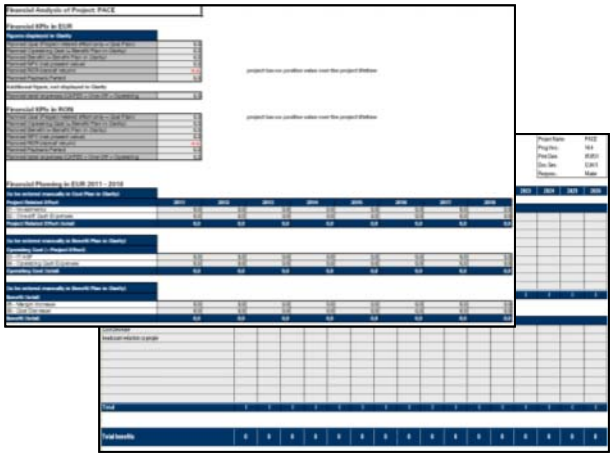
The PC-E is an output of **Define Phase** and is delivered at **TG 3**

The Business Case Execute represents the complete financial outline of the project with an accuracy range of +/-15%

3.4 Project Life Cycle – Define Phase / BC-E

Objectives / Purpose

- **Obtain formal commitment to**
  - **Complete financial outline of the overall project (+/-15%)**
  - **Detailed project budget for Execute phase (+/-5%)**



What it is

- An Excel-based template for calculation of the overalls project‘s economic feasibility with an accuracy range of +/- 15%
- Provides an overview of the expected expenditures in Execute phase with an accuracy of +/-5%
- Supports the calculation of the project’s key performance indicators:
  - Net present value (NPV)
  - Rate of return (ROR)
  - Discounted payback period (DPP)
  - Project Budget (OPEX, CAPEX)
  - Project Effects (benefits, operating expenses)

Scope

The Business Case Execute is mandatory for the following project classes:

A B C D

Life Cycle

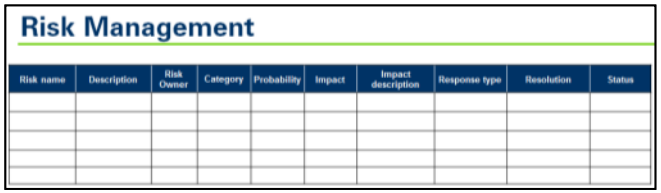
The Business Case Execute is an output of **Define Phase** and is delivered at **TG 3**

The Risk Management Plan helps to assure planned project results by detecting potential risks and defining appropriate countermeasures

3.4 Project Life Cycle – Define Phase / Risk Management Plan

Objectives / Purpose

- **Assure planned project results by identifying potential risks and by defining appropriate countermeasures and responsibilities**
- **Give early warning signs to management**



What it is

- Clarity-based report as part of the regular Status Report to collect risk, prioritize them and define response strategies
- Is prepared initially latest at TG 3 and used for continuous management & controlling of risks throughout the project life
- Forms part of the project status report for a regular communication of project risks

Scope

The Risk Management Plan is mandatory for the following project classes:

A B

Life Cycle

The Risk Management Plan is an output of **Define Phase** and is delivered at **TG 3 latest**

The Change Management- & Communication Plan is the basis for planning and controlling of all communication tools in the project

3.4 Project Life Cycle – Define Phase / Change Mgmt. & Communication Plan

Objectives / Purpose

- **Enable structured communication measures**
- **Ensure transparent flow of information and feedback within and outside a project**

What it is

- An Excel-based template to plan, manage & control communication measures
- Describes how project communication will address the relevant stakeholders
- Includes as a minimum the following elements:
  - Communication objectives
  - Target stakeholders
  - Key content for each communication measure
  - Communication method and frequency

Scope

The Change Management & Communication Plan is mandatory for the following project classes:

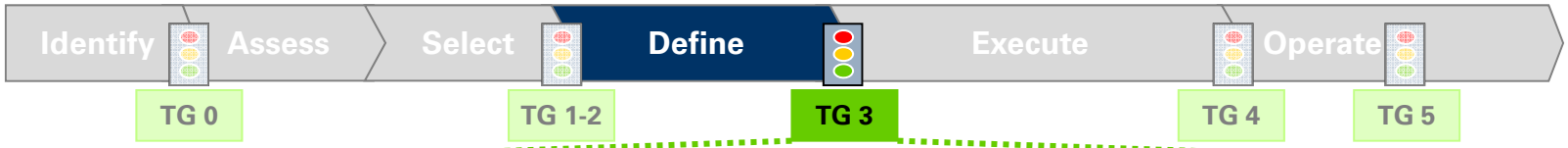
A

Life Cycle

The Change Management & Communication Plan is an output of **Define Phase** and is delivered at **TG 3**

At TG 3 the detailed implementation plan is endorsed by the Tollgate Committee members

3.4 Project Life Cycle – Define Phase / TG 3



TG 3: Implementation-plan ready in necessary detail?

Confirmation from Tollgate Committee that:

- The updated Business Case still lies within the range of the original assumptions or that deviations are approved
- Qualified project organization (PM, LGM, PTMs, SC if applicable) is in place
- A realistic implementation schedule has been planned
- Relevant risk have been identified and been accounted for, a communication plan for stakeholders is in place

Approval steps

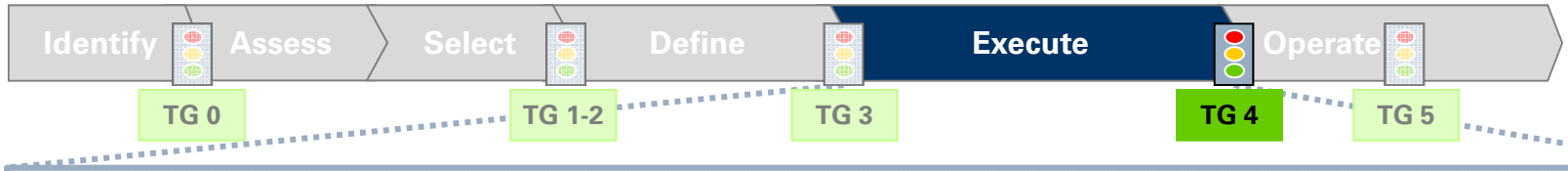
Quality assurance			Tollgate Committee				*Specifics for Business projects*
Project Coord./ PMO	Ent. Arch./ IT Security	Tollgate Facilitator	Project Owner	Finance/ Contr.	CIO Office	Global Solutions	* The following roles are not applicable for Business Projects: • Tollgate Facilitator • Ent. Arch. & Info Sec. • CIO Office • Global Solutions
✓	✓*	✓* (only for Class A/B)	✓	✓* (only for Class A/B/C)	✓*	✓*	

Tollgate Format

Class A	Class B	Class C	Class D	*Specifics for Business projects*
Meeting	Meeting	Electronic	Electronic	TG meetings can be handled individually via project SC meetings

In Execute phase the project is delivered and the execution of the implementation plan is managed and controlled

3.5 Project Life Cycle – Execute Phase



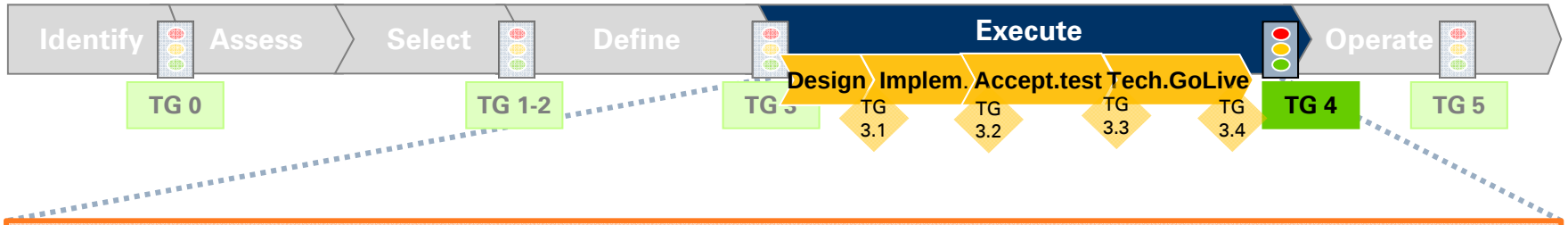
Input	Actions	Output

General:
▸ Detailed project implementation plan
Assurance documents of previous phases:
▸ Project Charter Execute
▸ Business Case Execute
▸ Risk management Plan*
▸ Change management- & Communication Plan*
**if required for respective Project Class*
	▸ Manage & control the project and any changes
	  ▸ Work package- & task delivery
	  ▸ Schedule & resources
	  ▸ Financials
	  ▸ Project communication
	  ▸ Quality & risks
	▸ Regular communication of project progress via monthly status reports and regular PO/ SC meetings
	▸ Collection of lessons learned
	▸ Delivering the promise
	▸ Getting acceptance of the deliverables
		 A B C D
		Change Request
		  A B C D
		Go- Live Protocol

In Execute phase the project is delivered and the execution of the implementation plan is managed and controlled

IT Specifics*

3.5 Project Lifecycle – Execute Phase



Design	Implementation	Acceptance Test	Technical Go Live
▸ Deliver a description of the future solution with very detailed information **Output:** ▸ Implementation Blueprint: contains all information about solution design (e. g. hardware that will be used, description of functionality of used software, performance description, etc.) **Implementation Blueprint**	▸ Implementation of designed solution ▸ Output: ▸ No mandatory document for this sub-phase	▸ Run acceptance test and protocol outcome of testing **Output:** ▸ Admin Manual: describes all relevant information for Service Manager to keep the system up and running after project end **User Acceotance Test Result** **Admin. Manual**	▸ Obtain technical Go Live Sign Off from Project Owner/ Project Manager. (depending on project setup) **Output:** ▸ Technical Go Live sign off: **Technical GoLive sign off**

 ** IT Specifics are not part of the G-T Directive 001 PM Standard*

The Go-Live Protocol provides the final summary of the project milestone plan and all acceptance criteria with their status

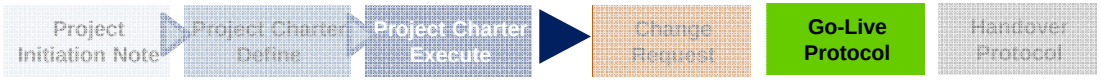
3.5 Project Life Cycle – Execute Phase / Go-Live Protocol

Objectives / Purpose

- **Obtain the Project Owner's sign-off of the final status of the project milestone plan and its acceptance criteria**
- **Provide an overview of any open issues and deadlines for their resolution**

What it is

- Clarity-based report which gives an overview of the current status of
  - The project milestones
  - The acceptance criteria
  - Any open issues related to the acceptance criteria
- The Go-Live Protocol is based on the updated information out of Project Charter Execute



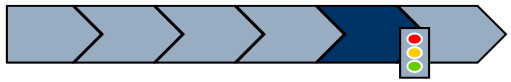
Scope

The Go-Live Protocol is mandatory for the following project classes:

A B C D

Life Cycle

The Go-Live Protocol is an output of **Execute Phase** and is delivered at **TG 4**



At TG 4 the project deliverables are accepted and go-live is confirmed

3.5 Project Life Cycle – Execute Phase / TG 4

TG 4: All tasks completed & accepted?

Confirmation from Project Owner (Business projects) / Tollgate Committee (Joint- & IT projects) that:

- The promise has been delivered, all deliverables have been completed within defined acceptance criteria
- A safe go-live can be guaranteed

Approval steps

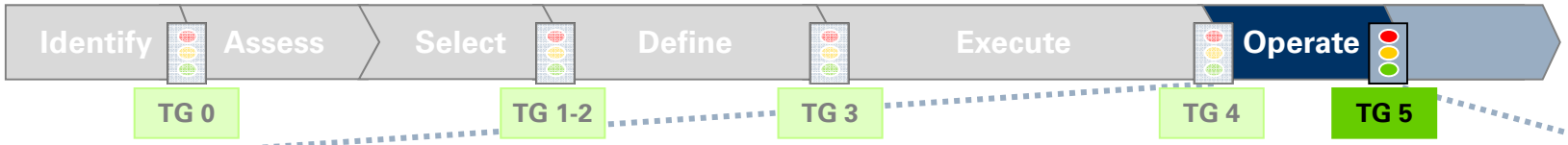
Quality assurance			Tollgate Committee				*Specifics for Business projects*
Project Coord./ PMO	Ent. Arch./ IT Security	Tollgate Facilitator	Project Owner	Finance/ Contr.	CIO Office	Global Solutions	* The following roles are not applicable for Business Projects: • CIO Office • Global Solutions
			✓		✓*	✓*	

Tollgate Format

Class A	Class B	Class C	Class D	*Specifics for Business projects*
✉ Electronic	✉ Electronic	✉ Electronic	✉ Electronic	-

In Operate phase the handover of the project results to the running business and project closing takes place

3.6 Project Life Cycle – Operate Phase



Input

General:

- Detailed project implementation plan
- Change requests (if any)

Assurance documents of previous phases:

- Go- Live Protocol

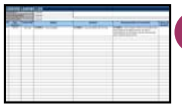
Actions

- Closing the project budget & updating the project financials based on actual project budget and forecasted project effects
- Provide post go-live support to ensure safe operations
- Preparation of final project documentation & hand-over results to running business
- Hold project closing workshop and document lessons learned based on deviations between
  - Initials baseline vs. actual project budget
  - Initial baseline vs. updated forecast of project effects
  - Initial baseline vs. actual schedule
  - Initial baseline vs. actual resource plan
  - Any change requests regarding scope, goals, team, …
- Discharge project team

Output

A B C D

Handover Protocol



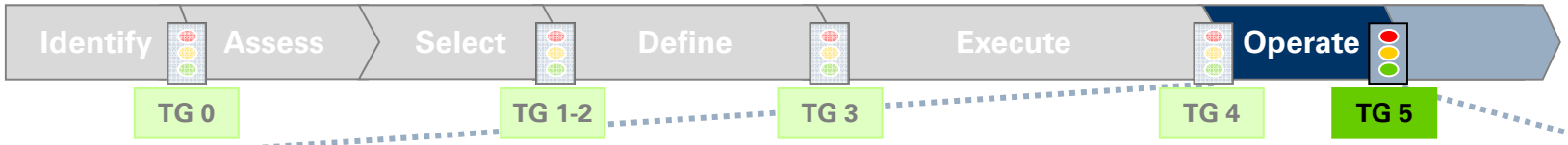
A B

Lessons Learned

In Operate phase the handover of the project results to the running business and project closing takes place

IT Specifics*

3.6 Project Lifecycle – Operate Phase



Actions	Output
▸ There are no further costs to be incurred on the project. ▸ The existing open Purchase Orders (if any) can be closed by Procurement because no services/ equipment/ licenses are expected to be delivered or invoiced. ▸ For equipment delivered from stock, the Hand Over Protocols have been submitted to the Infrastructure Department and the equipment have been assigned to the user; ▸ The actual costs have been reviewed and no changes are to be done. ▸ All estimated travelling costs have been entered on the project. ▸ The costs have been charged to the Beneficiary (all invoices have been issued) ▸ Assets: a) In OMV projects: have been capitalized on the ASP W… b) In PETROM projects: "Put in Function" has been signed by the Project Manager and submitted to the Commercial Management Department ▸ Running costs after project closing (if any) have been agreed with the Beneficiary(s), according to the approved Project sign-off in the chapter "Expected ASP costs for GS"	Financial Closing Checklist

 ** IT Specifics are not part of the G-T Directive 001 PM Standard*

The Handover Protocol provides a final summary of the project financials with their initial baseline and their actual values

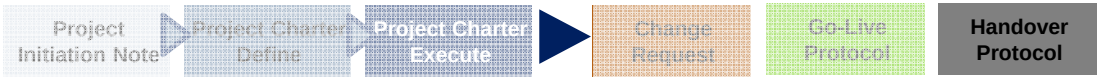
3.6 Project Life Cycle – Operate Phase / Handover Protocol

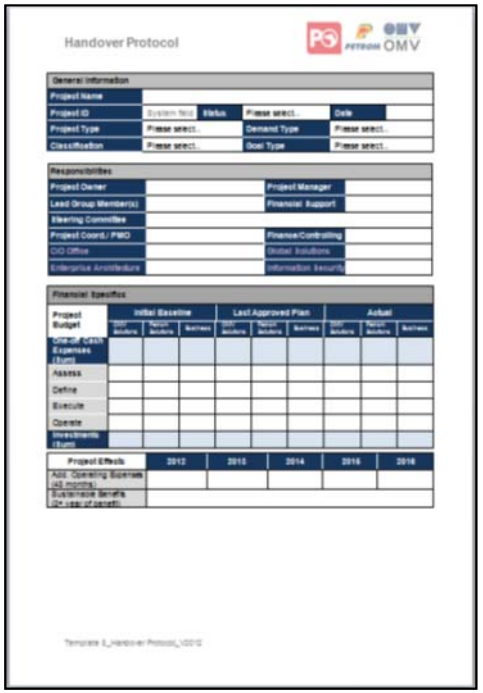
Objectives / Purpose

- **Provide a final summary of the project budget with its initial baselines and their actual values**
- **Give an updated forecast of the project effects**

What it is

- Clarity-based report which gives an overview of
  - The one-off cash expenses and Investments (initial baseline, last approved plan & actuals)
  - The additional annual operating expenses and the sustainable annual benefits (forecast)
- The Handover Protocol is based on the updated information out of Project Charter Execute





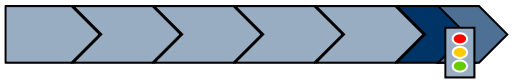
Scope

The Handover Protocol is mandatory for the following project classes:

A B C D

Life Cycle

The Handover Protocol is an output of **Operate Phase** and is delivered at **TG 5**



Lessons Learned of previous projects are a relevant input for the project planning process and should be shared to enable organizational learning

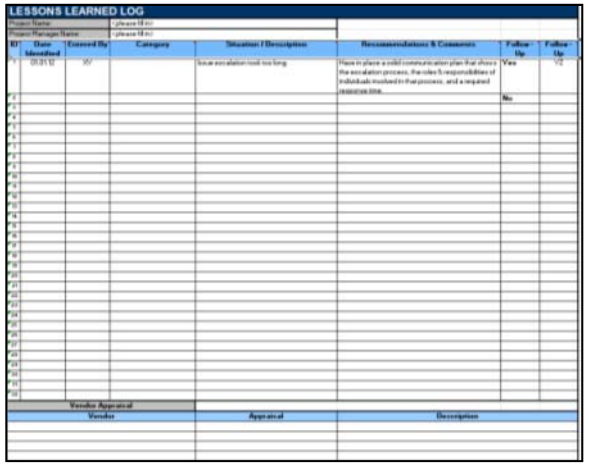
3.6 Project Life Cycle – Operate Phase / Lessons Learned

Objectives / Purpose

- **Collect the Lessons Learned within a project and share them to allow organizational learning**
- **Use Lessons Learned of previous projects to enable better planning at the start of a project**

What it is

- An Excel-based template to collect Lessons Learned within a project, combined with an online data base (2connect) to share lessons across the organization
- Lessons Learned are relevant for a project
  - At the beginning of a project to include Lessons Learned from previous projects into the planning process
  - Throughout the project life to reflect on Lessons Learned before entering new phases or work packages
  - At the project end to collect all relevant Lessons Learned and share them with others



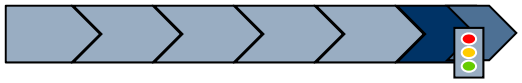
Scope

The Lessons Learned are mandatory for the following project classes:

A B

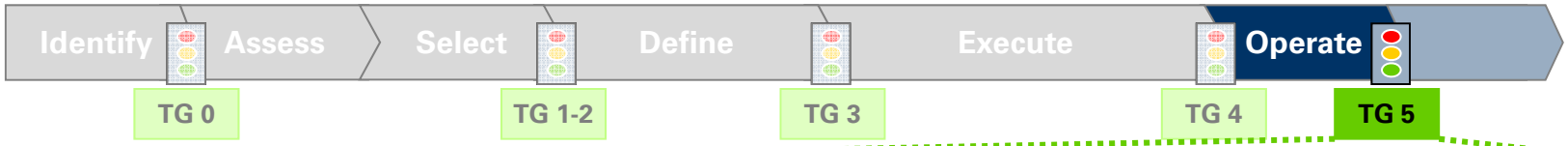
Life Cycle

The Lessons Learned are an output of **Operate Phase** and is delivered at **TG 5**



At TG 5 the project budget is closed and handover to running business is confirmed

3.6 Project Life Cycle – Operate Phase / TG 5



TG 5: Handover to business & project documented?

Confirmation from Tollgate Committee that:

- All amounts of the project budget have been accounted for and the project budget can be closed
- The expected project effects (benefits and add. operating expenses) lie within the original assumptions or deviations are accepted
- Delivered product or service is still within company strategy and shall be handed over to running business
- Project can be closed and project team can be released

Approval steps

Quality assurance			Tollgate Committee				*Specifics for Business projects*
Project Coord./ PMO	Ent. Arch./ IT Security	Tollgate Facilitator	Project Owner	Finance/ Contr.	CIO Office	Global Solutions	* The following roles are not applicable for Business Projects: • CIO Office • Global Solutions
✓			✓		✓*	✓*	

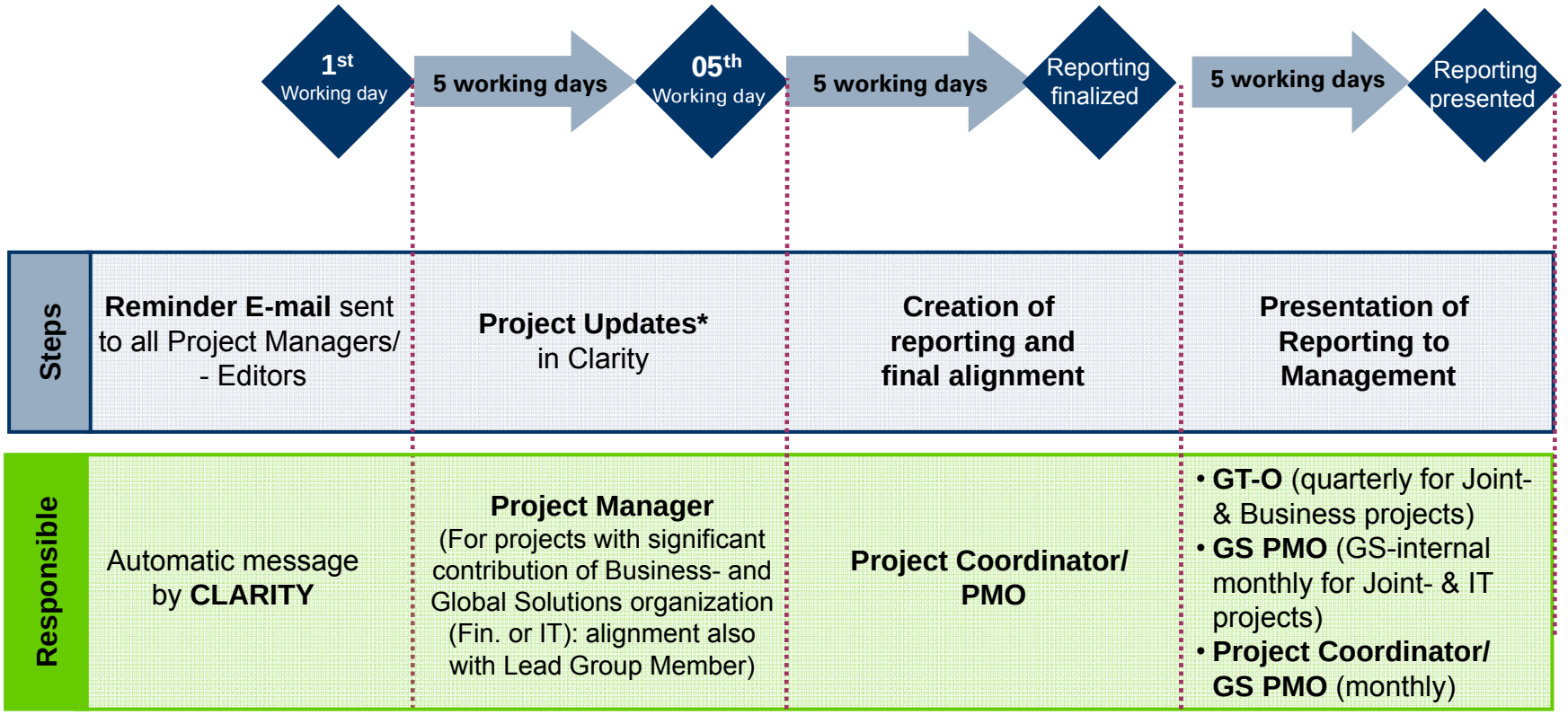
Tollgate Format

Class A	Class B	Class C	Class D	*Specifics for Business projects*
✉ Electronic	✉ Electronic	✉ Electronic	✉ Electronic	-

A monthly update of the project information via Clarity tool is mandatory for all projects

3.7 Project Life Cycle – Project Reporting

Monthly Project Reporting Process



* For details of Project Updates in Clarity see Clarity User Manual

The Project Status Report provides honest & transparent information about the current status of the project

3.7 Project Life Cycle – Project Reporting / Project Status Report

Objectives / Purpose

- **Provide honest & transparent information about project status (schedule, financials, resources, …)**
- **Communicate risks at an early stage and on a regular basis**

What it is

- Clarity-based report which summarizes the current status of the project plan such as
  - Milestone plan
  - Project budget
  - Project effects
- Summary of project risk management plan
- Narrative description of detailed project status

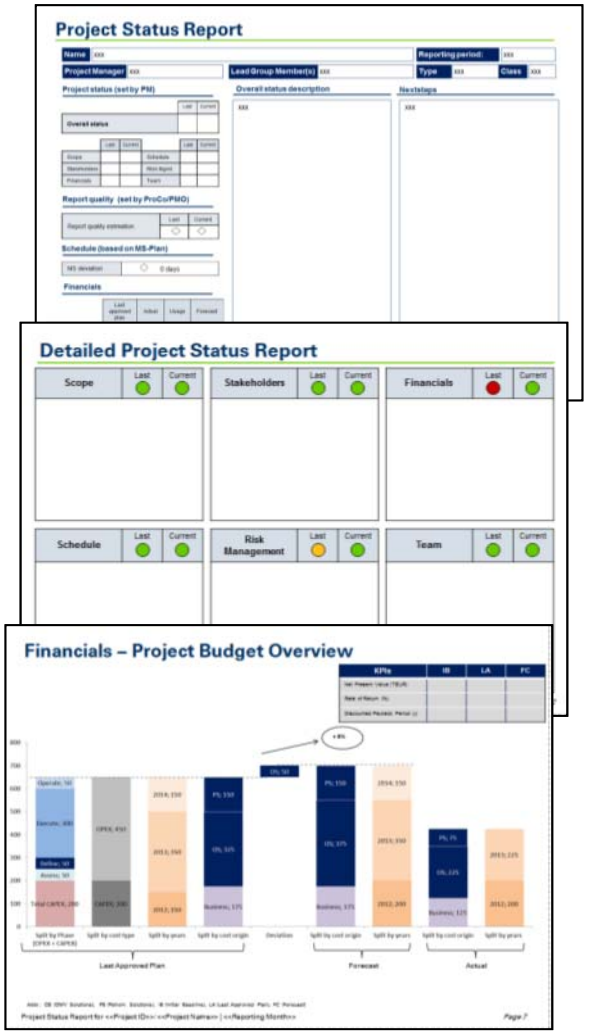
Scope

Monthly Status Reports are mandatory for the following project classes:

A B C D

Life Cycle

Monthly Status Reports are required throughout the project life **from TG 0 to TG 5**



Project Change Requests serve the honest communication of significant deviations of the project plan and approval thereof by the Project Owner

3.8 Project Life Cycle – Change Request

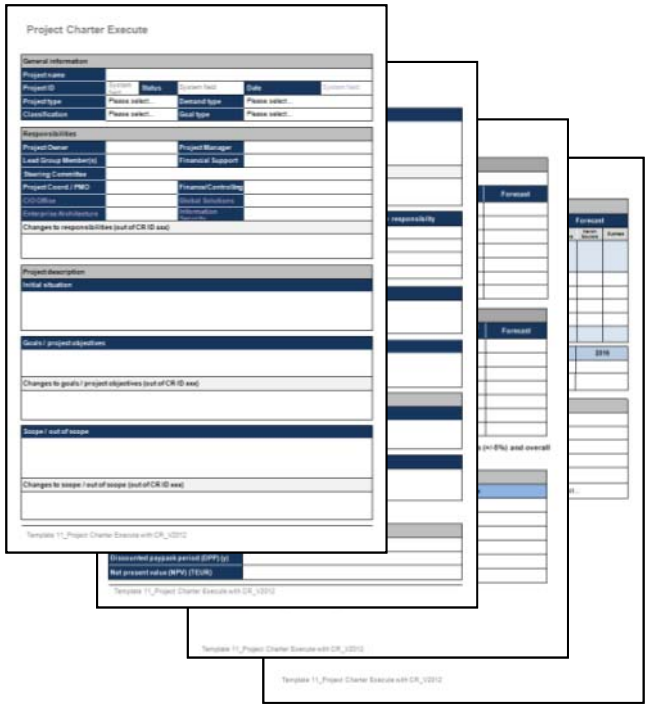
Objectives / Purpose

- **Provide honest & transparent information about deviations to the project plan (schedule, financials, resources, …)**
- **Get approval by Project Owner of the new forecast to obtain a new 'Last approved plan'**

What it is

Clarity-based report which provides an overview of

- the latest forecast of
  - Schedule
  - Resource plan
  - Project financials
- And any changes (narrative) within the responsibilities, goals/ objectives, scope/ out of scope and deliverables



Scope

Change Requests are mandatory for the following project classes in case of significant changes:

A B C D

Life Cycle

Change Requests may be issued throughout the project life **from TG 0 to TG 5**

Any changes to the project plan after TG 3 require an approval from PO, a full revision of the project concept needs approval from TG Committee

3.8 Project Lifecycle – Change Requests

1 BEFORE TOLLGATE 3

Any changes before TG 3 can be approved via the regular upcoming tollgates (TG 1-2 or TG 3)*.

: In case an earlier approval of changes of cost a/o schedule is necessary, options **a (see below) can be applied accordingly**

2 AFTER TOLLGATE 3

a — Significant Deviations of the project plan

- Reduction of positive **NPV by < 15%**
- Increase of **project costs of current phase by >5%**
- **Critical schedule delays**
  (affecting project end date or other critical milestones)
- Other significant changes to the project plan
  (responsibilities, goals, financials, schedule, deliverables, resources)

Update project plan → **Change Request approval (by PO only)** → **New „Last Approved Plan“**

b — Revising the project concept

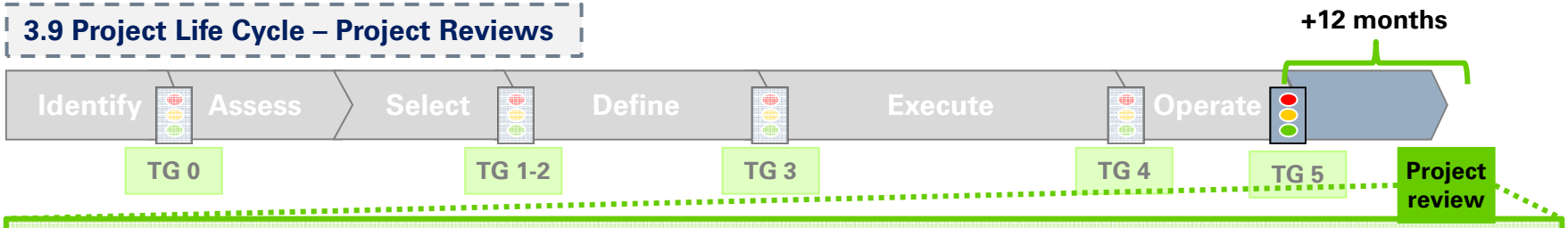
- Significant **changes of project scope**
- Reduction of positive **NPV by > 15% (Execute Phase) or >30% (Define Phase)**
- Drop of the **ROR under the hurdle rate**
  as defined for the respective division

Update project plan → **TG 3 approval* by TG committee** → **New „Initial Baseline“**

** In case of substantial changes to the original project plan the Tollgate Committee might decide that a project has to repeat Assess phase to make sure that the chosen alternative is still the best option for the altered project.*

The project review takes place 12 months after project closing and compares the estimated project effects with the actual figures

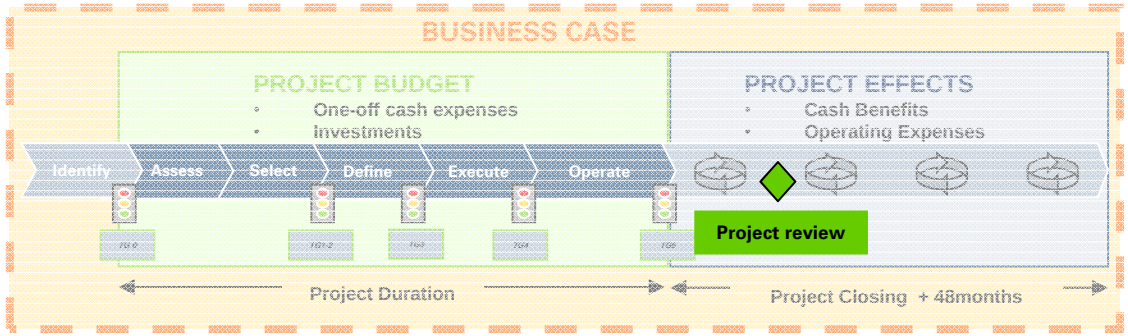
3.9 Project Life Cycle – Project Reviews



Project review

Presentation initiated by Finance/Controlling to the Tollgate Committee with

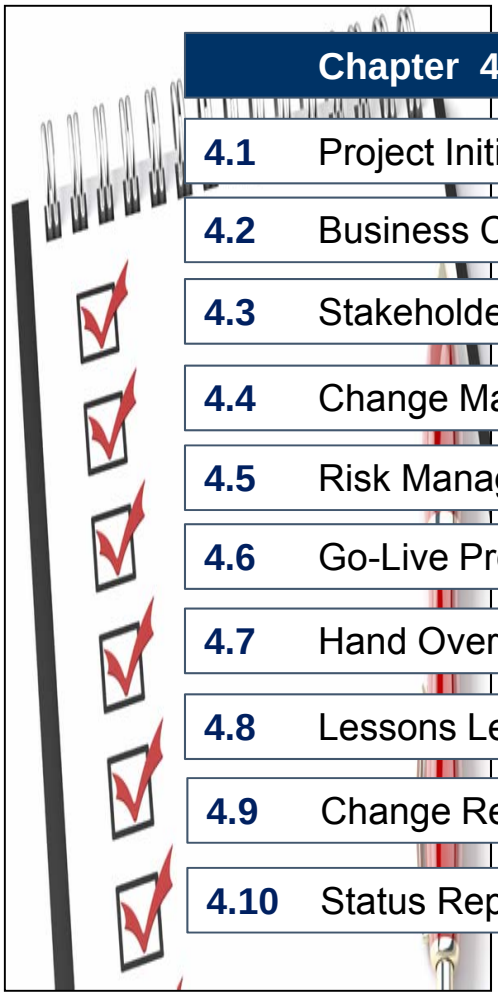
- affirmation that the estimated project effects match the actual figures of first year after project closing (TG 5) for
  - Additional annual operating expenses
  - Project benefits
- Or an explanation of any deviations and definition of relevant countermeasures



Project Review Format

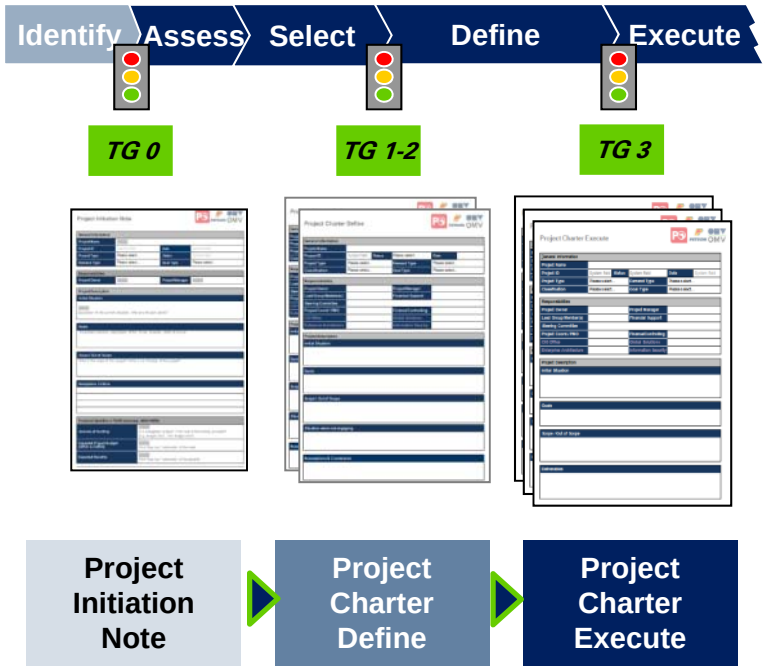
Class A	Class B	Class C	Class D	*Specifics for Business projects*
Meeting	✗ *Not applicable*	✗ *Not applicable*	✗ *Not applicable*	-

Table of Content – Documentation



The Project Charter Execute is elaborated stepwise by completing the PIN and the Project Charter Define with more accurate information

4.1 Project Initiation Note (PIN)/ Project Charter - GENERAL



How to use this manual:

- PIN, Project Charter Define & -Execute build up on each other
- The documents contain information which is elaborated stepwise and which becomes more accurate over time
- The **Overview section** (**– OVERVIEW**) will explain you which fields are needed in which document
- The **Details section** (**– DETAILS**) will provide you with a comprehensive explanation for each data field

- For creating the Project Charters the following steps need to be performed:
  1. Updating the information of the previous steps with more accurate information
  2. Adding additional information

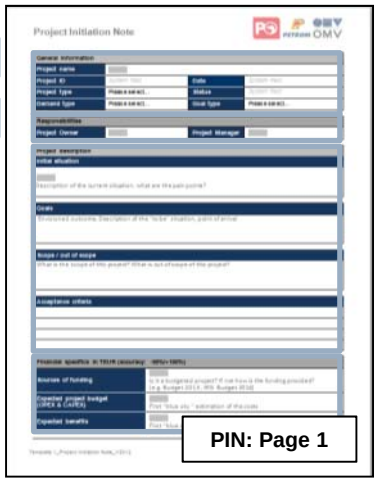
The PIN summarizes the first basic project description and rough financial estimations

4.1 Project Initiation Note (PIN) – OVERVIEW

What to fill in the PIN

1	**General information**	
	Project name, ID, type	▸ Includes the basic project information
	Demand type & goal type	
2	**Responsibilities**	
	Project Owner	▸ Includes the name of the Project Owner and the (preliminary) PM
	Project Manager	
3	**Project description**	
	Initial situation	▸ First project information details
	Goals/ project objectives	
	Scope / out of scope	
	Acceptance criteria	
4	**Financials**	
	Sources of funding	▸ Which budget covers project?
	Expected project budget (OPEX & CAPEX)	▸ First “blue sky” estimation by the PO
	Expected benefits	
5	**Schedule**	
	Project start & end	▸ Project start and end date

1
2
3
4



PIN: Page 1

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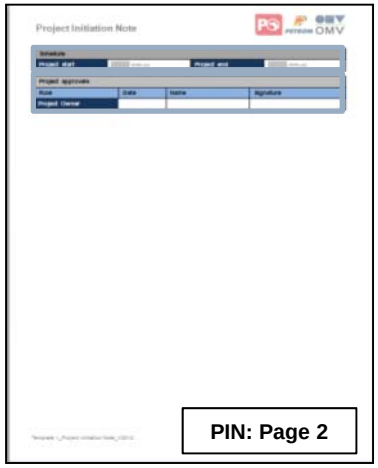


PIN: Page 2

The Project Charter Define completes the PIN with additional information regarding responsibilities, project description and financials (1)

4.1 Project Charter Define (PC-D) – OVERVIEW

What to fill in the PC-D (1/2)

1 General information

Classification	▸ New field

2 Responsibilities

- ▸ Includes the name of the final PM and all other project roles
- ▸ Quality assurance- & tollgate committee roles automatically filled by the system

3 Project description

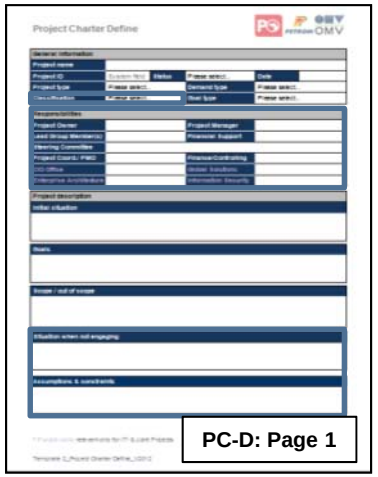
Situation when not engaging	▸ Further detailed project information
Assumptions & constraints	

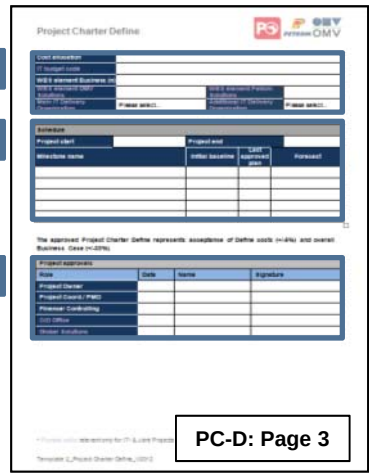
4 CIO guidance

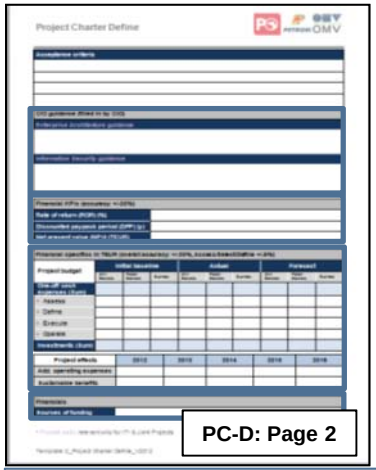
Enterprise Arch. guidance	▸ Specific IT information and guidance
Info. Sec. guidance	

5 Financial KPIs

ROR, DPP, NPV	▸ First estimations of financial KPIs







The PC-D builds up on the data of the PIN by updating the information and adding additional data

The Project Charter Define completes the PIN with additional information regarding responsibilities, project description and financials (2)

4.1 Project Charter Define (PC-D) – OVERVIEW

What to fill in the PC-D (2/2)

6 Financial specifics in tEUR

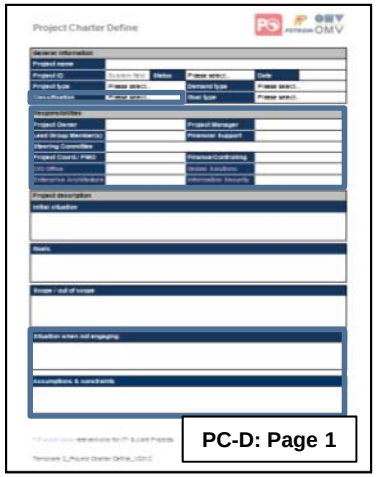
One-off cash-expenses	▸ More detail on financial data
Investments	

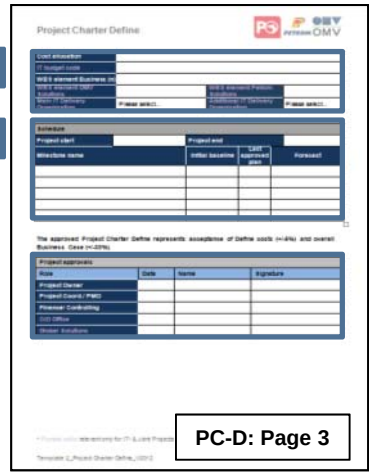
7 Financials

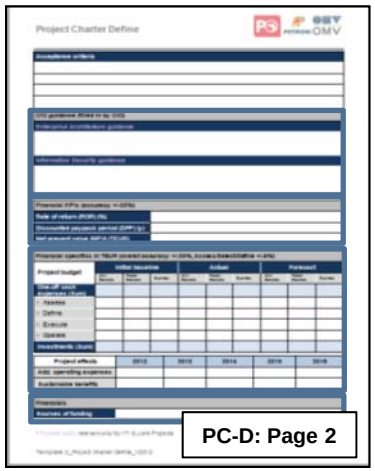
Cost allocation	▸ Specific financial Business- & IT data to be filled by the PM or automatically by the system
IT budget code	
WBS element Business(n)	
WBS element OMV Solutions	
Main IT delivery organization	
WBS element Petrom Solutions	
Additional IT delivery organization	

8 Schedule

Milestone name	▸ Additional details regarding the milestones of the project







The PC-D builds up on the data of the PIN by updating the information and adding additional data

The Project Charter Execute represents the complete project plan with all relevant details to describe the planned project implementation

4.1 Project Charter Execute (PC-E) – OVERVIEW

What to fill in the PC-E

1 Project description

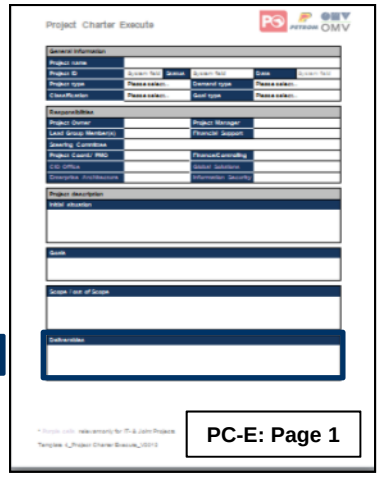
Deliverables	▸ Details regarding the conditions to be fulfilled by the end of the project
Quality tolerance	
Acceptance method	
Acceptance responsibility	

2 Financial specifics in tEUR

Last approved plan	▸ More accurate financial data

3 Ressource plan (in person days)

Name	▸ Planning the project resources
Initial baseline	
Last approved plan	
Forecast	



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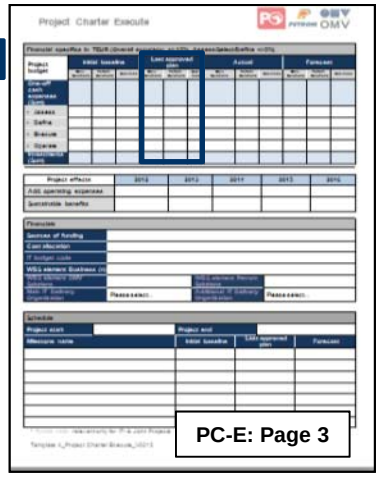

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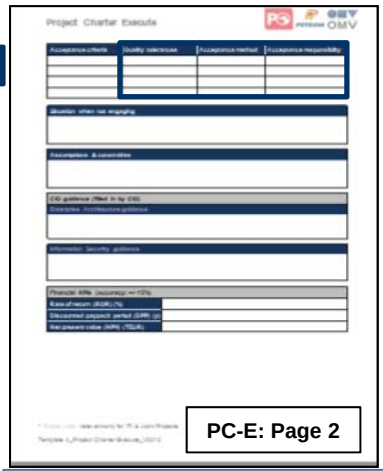

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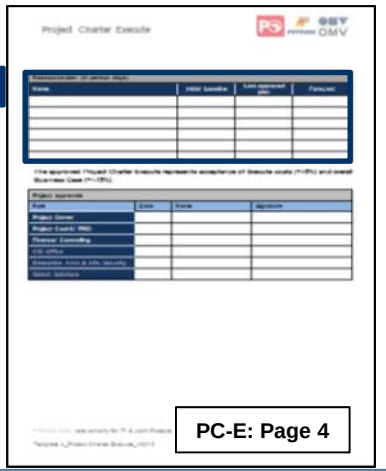


3

The PC-E builds up on the data of the PC-D by updating the information and adding additional data

Define your project! Name, type and categorization

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-E: Page 1

PIN	**General information**	
	Project name	▸ Self- explanatory project name ▸ In case abbreviations are used (e.g. KDR for **K**nock **D**own and **R**ebuild), a long description must always be provided in brackets)
	Project ID	▸ Shows the project ID, automatically given by the system
	Status	▸ **Approved**: The PIN is already officially accepted and signed by the Project Owner ▸ **Unapproved**: The project approval workflow has not been closed yet (project is still in Identify phase) ▸ **On hold:** if project was approved, it can be later interrupted for a certain period of time with no influence on the project reporting (e.g. due to scarcity of resources or while waiting for a permission by the government, etc.) ▸ **Cancelled:** if project was approved it still can be cancelled due to strategically decisions. A cancelled project will not be continued and it cannot be resumed ▸ **Resumed:** if project was previously on hold and is resumed ▸ **Rejected:** if project was unapproved it can be rejected by the Project Owner
	Date	▸ Date when report is extracted (system date)
	Project type	▸ IT, Business, Joint Business/ IT, Invest
	Goal type	▸ Projects are classified into **4** project goal types: ▸ Running business, Rationalization, Growth, Transformation

	Demand type	▸ Projects are classified into **3** project demand types:
		  ▸ Mandatory
		  ▸ Business Development/Operations
		  ▸ IT Operations

PC-D	**Classification**	Information as to whether it is a **A/B/C/D** project.

Quality Assurance-& Tollgate Committee roles are automatically filled in by the system, depending on project type, class & OBS

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN	Responsibilities
Project Owner	▸ Definition of **one OMV internal Project Owner** who has the overall responsibility for budget and results and nominates the Project Manager for performing the project ***See page 21 for further information***
Project Manager	▸ Definition of **one** Project Manager who has the operative project responsibility for accomplishing the project in time, budget and scope and is assigned by the PO for the planning and management of the project ***See page 23 for further information***

PC-D	
Lead Group Member	▸ Definition of a Lead Group Member who supports the PM with the successful delivery of the project, **see *page 24* for further information** ▸ ***Only applicable for projects with Business- AND Global Solutions involvement***
Financial Support	▸ Definition of the Financial support role who is responsible for the business case content, **see *page 26* for further information**
Steering Committee	▸ In general, only for projects with a significant influence on more than one Business Unit, the appointing of a Steering Committee is recommended ▸ ***Only mandatory for Class A projects*** ▸ ***See page 22 for further information***
Project Coord./ PMO Finance/Controlling	▸ Name automatically input by Clarity **See *pages 28 & 32* for further information**
CIO Office Global Solutions Enterprise Architect. Information Security	▸ Name automatically input by Clarity, ***only applicable for Joint- & IT projects*** **See *pages33-34 & page 29* for further information**

PC-E: Page 1

The initial situations describes the situation which led to the initiation of the project, why is this project done?

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN

Project description

Initial situation

- Brief description of the main trigger of the project
  - **Why is the project being undertaken?**
- Explain the setting and the reasons why the project has emerged
  - **Why is there a need for action?**
- Describe what relevant work has already been done prior to the project and what results already exist
- Analyze the history of the topic and prior approaches and projects

Examples:

- **Market demand -** a rapid increase in demand for cars with diesel engines
- **Business requirement -** documenting projects manually is extremely costly and time consuming
- **Technological advance** - the production of diesel compared to competitors is too expensive
- **Customer's enquiry -** a customer wishes to purchase an unusual large amount of a particular lubricant
- **Legal requirement -** clear product documentation is required by law
- **Social necessity -** employees complain about the lack of parking facilities near to the companies' offices

PC-E: Page 1

Within the goals the effects of the project are described, what is intended with this project?

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN

Project description

Goals/ project objectives

- Definition of the project with regard to benefit and effects
  What is intended with the project?
- **Describe the effects of the project, NOT the results that will be delivered.**
- Following goals/ objectives must be pursued:
  - **Quantifiable / financial goals/ objectives**
  - **Qualitative** (Non-quantifiable) **goals/ objectives**
- If necessary also specify non-goals/non-objectives
- **All goals/ objectives must be...**
  S pecific **M** easureable **A** chieveable **R** easonable **T** imed

Examples:

- **Quantifiable / financial goals/ objectives:**
  Can be precisely measured and are expressed in figures:
  - Reduction of xxx € costs
  - Increase in sales by xx % or 10.000 t or 1 Mio.€
  - Increase margin by 1,2 cent per liter
  - Hit a clearly defined KPI (e.g. ROFA, etc.)
  - Always define a clear timeframe until when a figure will be reached
- **Qualitative goals/ objectives:**
  Cannot be expressed in terms of figures or values:
  - Strategic objectives such as optimization of work procedures through reorganization
  - Example: efficiency increase of approval workflows

PC-E: Page 1

The Scope field defines what has to be done to reach project deliverables?

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN

Project description

Scope / out of scope

- Detailed description of services/topics to be delivered in the project (**What has to be done to reach project deliverables?**)
- In addition, a description of what the project will definitely **NOT** generate (Out of Scope)
- A precise description of the scope simplifies:
  - the detailed planning of the project
  - defining the work and tasks of the Project Team
  - evaluating occurring Change Requests or additional work that is to be included in the project
- Before the PM starts defining the scope the initial situation as well as the goals/ objectives need be clearly understood.

Examples:

- **In scope:**
  - Construction of two OMV + VIVA filling stations in AT
  - Technical specification, implementation and organizational rollout of IT system
  - Establishment of a new organization in country xx
  - Development of a strategy for xx in country zz
- **Out of scope:**
  - Country XY
  - Refinery X
  - The implementation of …
  - All training workshops
  - IT Roll-out
  - Fillings Stations from type XX

PC-E: Page 1

Deliverables describe the concrete project outputs which have to be fulfilled in order to have a successful project

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-E

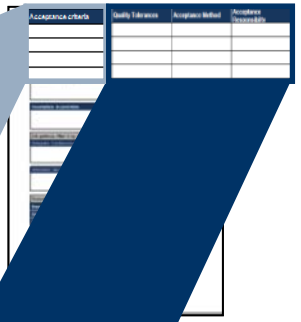
Project description	
Deliverables	▸ **Deliverables = Touchable Project Results** ▸ Definition and description of the specific project output **What are the concrete project outputs?** ▸ Deliverables are **measurable success criteria for the project** and serve as the basis for assessing its efficiency, quality and quantity ▸ There should also be a precise **specification of the quality** and facilities that the deliverables have to fulfill
	Examples: ▸ Specification Document in MS Word ▸ 1 Process manual ▸ 3 training manuals separated per target group ▸ 10 new filling stations with VIVA shops ▸ A new product that has been designed, developed, manufactured and put on the market ▸ A complete conceptual design covering ▸ A new IT system that has been implemented and is now ready for use

PC-E: Page 1

Specifics fields in PIN/PC specify the exact conditions for the acceptance of the project

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN	**Project description**	
	Acceptance criteria	▸ Describe the important conditions to be fulfilled by the end of the project. ▸ Criteria defined for the approval of the PIN has to remain unchanged for the duration of the project and checked at the Go-Live Protocol approval ▸ Additional Acceptance Criteria may be added until the PC-E approval, and audit trail shall be used for the additional Acceptance Criteria added in Execute phase
		Examples: ▸ Reporting from Clarity – the report should be available in 2 sec
PC-E	**Quality tolerance**	▸ is a percentage value (%)
		Examples: ▸ UAT is fulfilled 95% (meaning that 7 sec are also accepted)
	Acceptance method	▸ Method of verifying the Acceptance Criteria **How the criteria will be verified?**
		Examples: ▸ UAT: conducting one test report.
	Acceptance responsibility	▸ The name of the person accepting the criteria



PC-E: Page 2

PIN /PC also describes impact if the project is not implemented and what are the pre-assumed conditions-& constraints of the project

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-D

Project description	
Situation when not engaging	▸ Specify the consequences for the business if the project is not realized. It is not about the consequences of the inadequate- or incomplete implementation of the project.
	Examples: ▸ Joint project reporting is not possible to be implemented without the new Clarity tool v13
Assumptions & constraints	▸ Describe the frame conditions of the project and the constraints assumed for the current project plan ▸ Which additional topics has to be considered out of the stakeholders analysis and project environment that cannot be influenced?

	Examples
	▸ Assumptions:
	  ▸ All IT devices in OMV, Petrom and Petrol Ofisi are compatible to Window 7
	  ▸ Project X is completed in time to deliver the necessary input for Project Y
	  ▸ 13 people from Business organization are nominated as full time resources to the project and no external consultants will be needed
	▸ Constraints:
	  ▸ time constraints
	  ▸ legal constraints in each country

PC-E: Page 2

Specific IT information and guidance

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-D

CIO guidance - filled in by CIO	
Enterprise Architecture guidance	▸ Information about architectural implication of the project defined by the Enterprise Architect at TG3 for IT- & Joint projects ▸ ***Only applicable for IT- & Joint projects***
Information Security guidance	▸ Guidance regarding the security of the information triggered by the project and defined by the Information Security Manager at TG3 ▸ ***Only applicable for IT- & Joint projects***

PC-E: Page 2

KPIs are automatically calculated in the Business Case template and need to be transferred manually into Clarity

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-D

Financial KPIs (accuracy +/-30% for PC-D & +/-15% for PC-E)	
Rate of return (ROR)	▸ ROR is the annualized effective compounded return rate which can be earned on the discounted cash expenses as well as cash revenues. ▸ Serves as a measure of profitability for a project/ an investment ▸ It is a percentage value (%)
Discounted payback period (DPP)	▸ DPP represents the period after which the cumulated and discounted current cash flow generated by an investment project is positive for the first time ▸ Measured in numbers of years until the project cash flow becomes positive
Net present value (NPV)	▸ NPV (capitalized value) of an investment is the after-tax cash value of the current cash flow generated by an investment. The NPV allows for an absolute assessment of a project. If this value is positive, it means that the project has earned the underlying cost (including internal costs) for the financing of its investment and is also generating a surplus ▸ Value in tEUR (thousand Euros)

PC-E: Page 2

Note: KPIs are automatically calculated in the standard Business Case template (issued by FC-C, Cost Controlling) and have to be manually filled into Clarity

All financial information derives from the Business Case template, the Clarity financial section and is automatically shown in the Project Charter

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-D	**Financial specifics in tEUR (thousand Euros, overall accuracy +/- 30% for PC-D, +/- 15% for PC-E)**	
	Initial baseline	▸ System field depending on approvals
	Forecast	▸ Input by the PM
	Actual	▸ System field depending on approvals
PC-E	**Last approved plan**	▸ System field depending on approvals

PC-E: Page 2

Legend: No manual data input from PM required within this report / data coming from existing sources

More information about coverage of the project budget

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-E: Page 3

PIN

Financial specifics in tEUR (thousand Euros, accuracy: -50%/+100%)	
Sources of funding	▸ **Is it a budgeted project?** ▸ **If not how is the funding provided?**
	Examples: ▸ EP IS Budget 2013, IRIS Budget 2014
Expected project budget	▸ First "blue sky " estimation of the costs
Expected benefits	▸ First "blue sky " estimation of the benefits

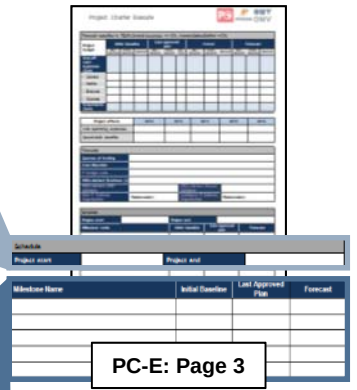
PC-D

Cost allocation	▸ Detailed information about the location of the budget
	Examples: ▸ E&P 20%, Corporate 80%
IT budget code	▸ Filled by PM according to IT project prioritizations
WBS element Business	▸ WBS element used for overall project cost handling in SAP
WBS element OMV Solutions	▸ WBS element used for IT project cost handling in SAP
WBS element Petrom Solutions	▸ WBS element used for IT project cost handling in SAP
Main IT delivery organization	▸ IT delivery organization which is allowed to generate invoices to the customer (Business) ▸ Depending on customer entity
Additional IT delivery organizat.	▸ The supporting IT delivery organization

All milestones defined in the schedule appear subsequently in the Project Charter

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN	**Schedule**	
	Project start	▸ First estimation of the project start (correlates to TG 0)
	Project end	▸ First estimation of the project end (correlates to TG 5)
PC-D	**Project start**	▸ Estimation of the project start created automatically by the date of the first project task (correlates to TG 0)
	Project end	▸ Estimation of the project end created automatically by the date of the last task (correlates to TG 5)
	Milestone name	▸ Name of the defined milestones of the project (brief and clear) and the planned tollgates dates
	Initial baseline	▸ The initial planned end date of respective milestone. First Initial Baseline is considered the one approved at TG1-2. At TG3 this value is overwritten with the final Initial Baseline ▸ After TG3, the Initial Baseline cannot be changed anymore
	Last approved plan	▸ The last approved end date of the milestone. After TG3 any change in the schedule plan is possible only with a Change Request.
	Forecast	▸ The latest estimated plan of milestone- and tollgate due dates, which has not been approved yet ▸ Provided by PM initially at the beginning of the project and later on updated with new forecast if applicable



Legend: No manual data input from PM required within this report / data coming from existing sources

The resource plan serves PM to get a clear commitment of the staff resource and their line managers for the agreed allocation

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PC-E: Page 4

PC-E

Ressource plan (in person days)	
Name	▶ Name of the resources which are part of the project team (PTMs, LGM, PM, FS) ▶ Global Solutions resources are planned on team level ▶ Business resources are planned on individual (name) level ▶ Only applicable for internal resources
Initial baseline	▶ Initial planned allocation of the team members on the project
Last approved plan	▶ Last approved allocation planned for the respective project
Forecast	▶ Latest estimation of the respective resource allocation, which has not been approved yet. ▶ Allocation of the team members is done in person days per month ▶ Serves as a binding commitment by the Line Manager of the nominated team members to guarantee the requested staff resources for the project duration and as per agreed allocation (line managers need to be informed by PM outside the system)

Legend: No manual data input from PM required within this report / data coming from existing sources

The approval of the Project Charter happens in physical meetings or via automatic approval workflow depending on class and type

4.1 Project Initiation Note (PIN)/ Project Charter – DETAILS

PIN

Project approvals	
Project approvals	► Approval roles are defined according to type and class of the project ► System field depending on type and class of the project Please refer to ***page 27 & 31*** for further information about the required approvals at each Tollgate

PC-E: Page 4

The BC, mandatory for all projects, represents the commitment of the Project Lead Team and the Owner to all financial figures

4.2 Business Case (BC) – OVERVIEW

What to fill in the Business Case

1 Financial KPI‘s

- Expected costs and business ratio in EUR and RON

2 Financial planning in EUR

- Expected cash out costs and Investment planning

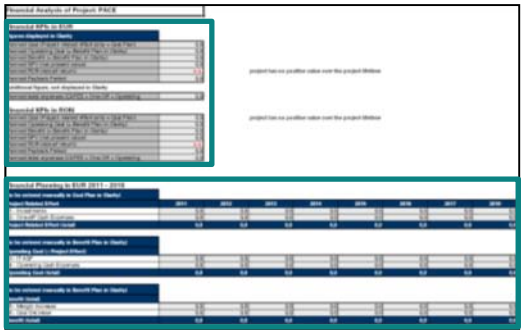
3 Net margin increase

- Expected net margin increase plan

4 Cost decrease

- Expected cost decrease plan

1



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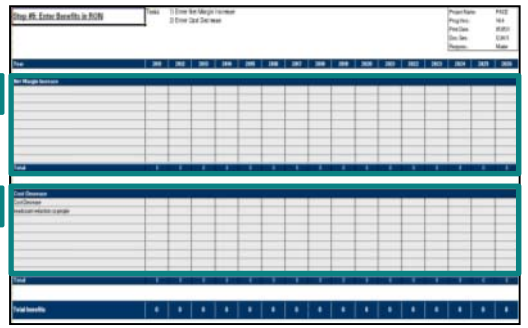


The Stakeholders Analysis provides an overview of all individuals or groups who might influence or are influenced by the project result

4.3 Stakeholder Analysis – OVERVIEW

What to fill in the Stakeholder Analysis

1a Stakeholders Analysis – Identify & Analyze your stakeholders!

- Template to gather all information about the different Stakeholders, their impact/ interests and power

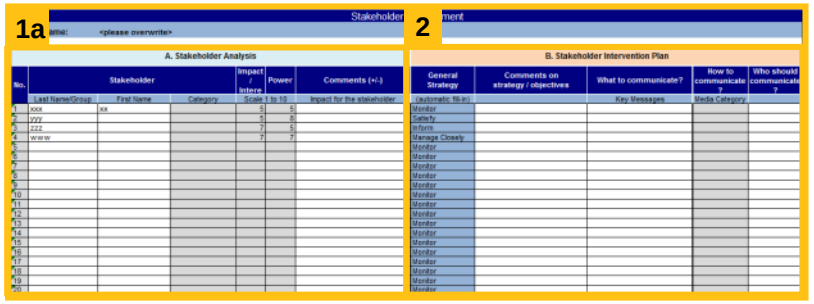
1b Stakeholders Graph – Determine how to approach your stakeholders!

- Automatically filled graph out of the information in Stakeholders Analysis

2 Stakeholders Intervention Plan – Choose the right measures!

- High level strategy for each stakeholder identified in the Stakeholders Analysis

1a



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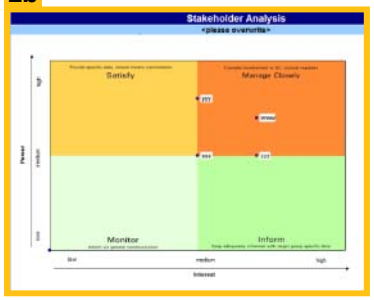
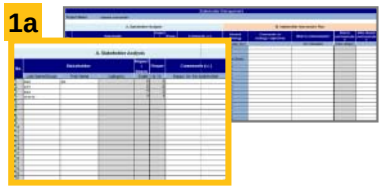
1b



As a first step you identify and analyze your stakeholders and prioritize them based on their impact & power

4.3 Stakeholder Analysis – DETAILS

1a



No	Stakeholder		Impact/ Interest	Power	Comments (+/-)
	Last Name/ Group	Category	Scale 1 to 10		
	Identify and list all the relevant stakeholders of the project. It is important to identify the important project promoters and opponents at an early stage of the project.	Drop down field with the main internal & external stakeholders : - Project Team, - PO/ SC, - Employees, - Management, - Workers Council, - Supplier/ Contractor	Impact and power of a stakeholder is defined as the extent to which they are able to persuade, induce, or coerce others into following certain courses of action and It is determined on a scale from 1 to 10 The higher the impact and/ or power of a stakeholder is, the more important is it to keep the stakeholders satisfied, especially those with a negative attitude towards the project, due to their influence on the project result.		Describe the most important expectations and fears of PM with regards to the identified stakeholders .
1	Xxx		3	7	
2	Yyy		7	7	
3	Zzz		8	2	
4	Www		4	2	

Step 1: Identify your stakeholders

- Brainstorm all possible internal and external stakeholders who are affected by the project, who have influence or power over it, or have an interest in its successful or unsuccessful conclusion.

Step2: Analyze your stakeholders

- Rank your stakeholders according to their total influence and power. Some of these may have the power either to block or advance your project.

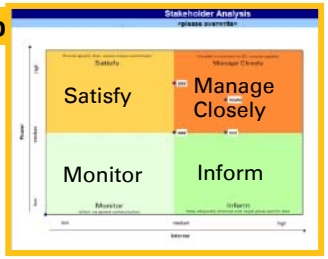
The ranking of your stakeholders gives you a good indication on how to deal with them best

4.3 Stakeholder Analysis – DETAILS

1b

Satisfy - consult regarding area of interest, - provide sufficient data	**Manage Closely** - involve in governance - consult regularly
Monitor - inform via general communication	**Inform** - keep adequately informed - avoid major issues

1b



Step 3: Fill in the graph

- Map out the stakeholders on a Power/ Interest grind template and classify them by the power over project & the interest in the project
- The mapping is done automatically in the graph

Based on the stakeholder prioritization you develop your detailed stakeholder intervention plan

4.3 Stakeholder Analysis – DETAILS

2

General Strategy	Comments on strategy/ objectives	What to communicate?	How to communicate?	Who should communicate?
(automatic fill-in)		Key message	Media category	
Automatic fill-in once the Stakeholders graph is completed	Specific Change Management & Communication target. Decide what you want to achieve with your project communication: awareness, understanding, acceptance or actions?	Develop the key message for the Change Management & Communication objectives. The content should address the reason the stakeholder will be interested in the project .	Report Phone Website Meeting Formal presentation Etc.	Who is the responsible communicator? Who prepares and distributes or presents the communication?
Satisfy	Act			
Manage Closely	Accept			
Inform	Understand			
Monitor	Aware			

Step 4: Identify the project's CM & Comm. objectives or purpose

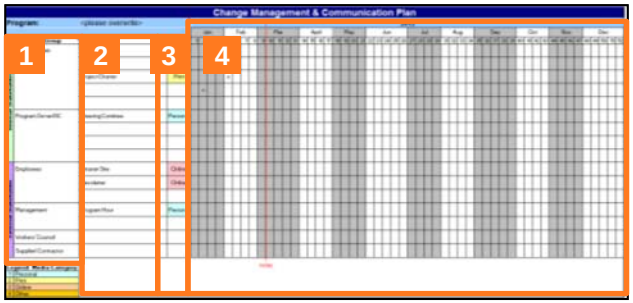
- By anticipating project-specific Change Management challenges early in the project, you set the stage for effective Change Management planning and execution.

Step 5: Consider the key stakeholders

- Who are the critical stakeholders that have importance and influence as it relates to your Change Management & Communication objectives?

The Change Management & Communication Plan helps to manage and communicate the project to the Stakeholders

4.4 Change Management & Communication Plan – OVERVIEW



What to fill in the CM & Comm. Plan

1 Target Group

Internal Stakeholders	▸ List the relevant names of the internal & external stakeholders
External Stakeholders	

2 Measures

- Determine the necessary communication measures

3 Category

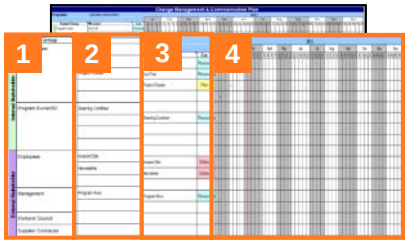
- Determine the necessary communication categories

4 Due date

- Due dates for the planned communication measures

Describe the target group, the communication tool used and the timelines for implementation

4.4 Change Management & Communication Plan – DETAILS



1 Target group

Internal Stakeholders	▸ Fill in the names of the internal stakeholders like: PO, project team, etc ▸ The project team can also be treated as one group of stakeholders. PM should describe, together with the project core team and from the beginning of the project, the collaboration principles for a better cooperation within the project.
External stakeholders	▸ Fill in the names of the external stakeholders like: organization employees, management, workers' council, supplier/ contractor etc ▸ External stakeholders are other individuals or organizations outside the project organization. They may be company internal employees or entities, or persons/ organizations external to the company (suppliers, authorities, etc)

2 Measures

Measures	▸ For each of the relevant stakeholders one or more communication measures can be used, like: kick-off, Jour Fixe, Project Charter, Intranet site, newsletter etc)

3 Category

Category	▸ For each of the relevant stakeholders one Communication category will be determined, according to the legend

Legend: Media Category	
1	Personal
2	Print
3	Online
4	Other

4 Due date

Due date	▸ Fill in a "X" in the week a respective task takes place. ▸ You can use the "today" line to mark the current date

Change Management & Communication measures should be controlled and continuously monitored like all project activities

4.4 Change Management & Communication Plan – DETAILS

Follow your documented Change Management & Communication Plan

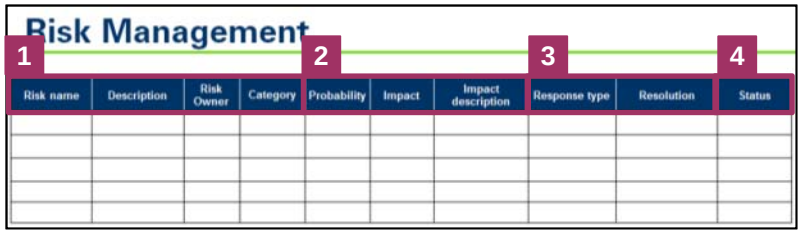
- Continuously evaluate the effectiveness of your Change Management & Communication Plan and how the organization is using the information
  - Use formal and informal evaluation measures to determine if the Change Management & Communication plan is effective
  - Examples: meeting evaluation form, temperature check, feedback stakeholders etc.
- Establish an early warning system and sufficient feedback loops with relevant stakeholders
- Adjust your Change Management & Communication Plan to make sure it remains up-to-date and effective
  - Make sure the Change Management & Communication Plan reflects changes in the project and regarding stakeholders as well as feedback from the evaluation methods
  - Provide the basis for adjusting change management actions and for timely steering of the implementation process
- Take corrective actions if needed

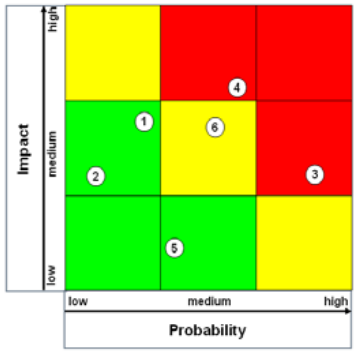
The risk management plan is the basis for a continuous controlling of risks and their mitigation measures

4.5 Risk Management Plan – OVERVIEW

What to fill in the Risk Management Plan

1	**Identify risks**	
	Risk name	▸ Information about the identified risks
	Description	
	Risk Owner	
	Category	
2	**Analyze risks**	
	Probability	▸ Prioritization of the risks based on their probability and impact, including the impact description
	Impact	
	Impact Description	
3	**Develop risk management plan**	
	Response Type	▸ Determining possible mitigation measures for the risks
	Resolution	
4	**Implementation & control**	
	Status	▸ Information about the actual risk status





Risk Management begins at project start and continues throughout the project life cycle

4.5 Risk Management Plan – DETAILS

- Risks may appear during the entire project life cycle, but the initial Risk Management Plan has to be finalized latest before the Execute phase (TG 3) in order to better manage the threats of the project and to reduce uncertainty
- Risk management is not a one-off activity. Risks must be reviewed regularly with respect to:
  - Whether their occurrence probability or potential impact severities have changed
  - Whether there are any new risks
  - Whether previously identified risks are still relevant

Risk name	Description	Risk Owner	Category	Probability	Impact	Impact description	Response type	Resolution	Status

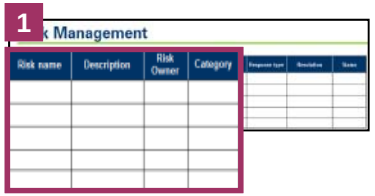
IDENTIFY RISK → **ANALYZE RISK** → **DEVELOP RESPONSE PLAN** → **IMPLEMENT& CONTROL**

1. Risks are generally identified on the basis of Project Managers or Team Members‘ previous experience and assumptions
2. Assessing the probability and the potential impact of risks in order to prioritize them
3. Develop a response plan to minimize the effects of the risk to a point where the risk can be controlled
4. Review regularly to update the risk status

Use the skills and know-how of your team to identify all possible risks to your project

4.5 Risk Management Plan – DETAILS

1



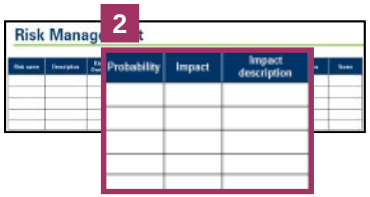
1 Identify risk	
Risk name	▸ The name of the identified risk ▸ The name has to be self explanatory for an easy identification of the risk
	Examples: ▸ Budget constraints ▸ Unclear project scope, objectives ▸ Stakeholder commitment
Description	▸ Detailed information what the risk is about including the dimension of the risk
	Examples: ▸ Project budget has not been allocated yet ▸ Project scope and objectives are poorly defined and appear as too general for one single project ▸ Degree of collaboration is not as high as expected
Risk owner	▸ Name of the person who is responsible for the risk ▸ Every risk should be assigned to an owner to assure that risk management objectives are met ▸ Risk owner has to be part of the project team and is responsible to: ▸ Evaluate the identified risk and monitor potential factors which may influence the evolution of the risk ▸ Track and facilitate the timely response to the identified risk ▸ Implement risk resolution defined in the Risk Management Plan
Category	▸ Is a drop down field which helps the Project Manager to easily categorize the risks ▸ The risk categories are: ▸ Process & Organization impact ▸ External driven deadlines ▸ Expected acceptance ▸ Scope clarity & process novelty ▸ IT architectural risk ▸ Interdependencies ▸ Regulatory or legal ▸ Resource availability ▸ Other

Analyze and assess identified risks do be able to prioritize your actions

4.5 Risk Management Plan – DETAILS

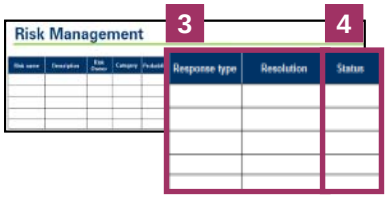
2

Analyze risk	
Probability	▸ An indication of how likely an event is to happen **What is the probability or likelihood of the risk item occurring?** ▸ High - very high probability for the identified risk to occur ▸ Medium – the risk is likely to occur ▸ Low – unlikely that the identified risk will occur
Impact	▸ The effect or influence of a special event (risk) on the project, especially in a significant or undesirable manner **What is the impact to the project if the risk item occurs?** ▸ The consequence if the risk does occurs is categorized as: ▸ High - very high consequences on the project if the risk will occur ▸ Medium – a moderate impact on the project if the risk occurs ▸ Low – irrelevant consequences on the project
Impact description	▸ Detailed description of the effect or influence the risk has on your project **Example**: ▸ Early winter start might delay construction of concrete platform by 6 months



Risk response planning is the process of developing options to avoid, mitigate or transfer threats to your project

4.5 Risk Management Plan – DETAILS



3 Develop risk management plan

Response type	▸ Drop down field with the common strategies for responding to risks : ▸ **Avoid**: Do something to remove it ▸ **Mitigate**: Take actions to lessen the impact or chance of the risk occurring ▸ **Transfer**: Make someone else responsible ▸ **Accept**: Dealing with the risk via contingency rather than altering the plan
Resolution	▸ Detailed measures to decrease the impact and to manage the risk ▸ During risk response planning, strategies and plans are developed to minimize the effects of the risk to a point where the risk can be controlled and managed ▸ Risks with higher probability and impact should receive more attention during response planning than lower priority risks
	Examples: ▸ Use another supplier **(Avoid)** ▸ Draw up an agreement and get sign-off for the resource to be available **(Mitigate)** ▸ A supplier can be made responsible for a risky part of the program or an insurance can be obtained **(Transfer)**

4 Implementation & control

Status	▸ Every single identified risk can have one of the following states: ▸ **Open**: risk item is identified but no response strategies have been started yet ▸ **Work in progress**: risk response strategies are on the way ▸ **Canceled**: the risk does not exist any more ▸ **Resolved**: the risk has been successfully eliminated. Risk response strategies have been implemented effectively

The Go- Live Protocol provides an overview of all project acceptance criteria as well as any open issues and deadlines

4.6 Go- Live Protocol – OVERVIEW

What to fill in the Go- Live Protocol

1 General information

- Pre-filled from last approved Project Charter

2 Responsibilities

- Pre-filled from last approved Project Charter

3 Financial KPI's

- Pre-filled from last approved Project Charter

4 Schedule

- Pre-filled from last approved Project Charter

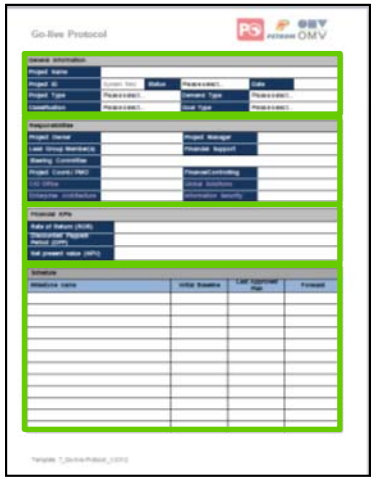
5 Acceptance criteria

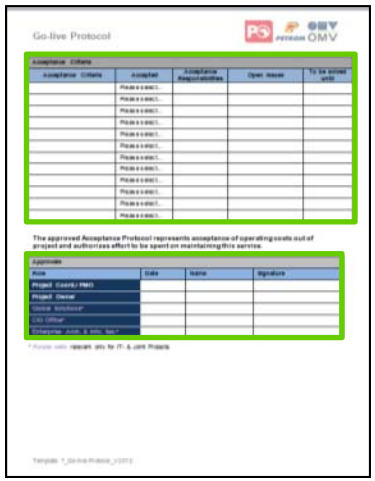
- Pre-filled from last approved Project Charter

Accepted	▸ New fields to be filled in by the PM
Open issues	
To be solved until	

6 Approvals

Approval roles	▸ Automatically filled by the system

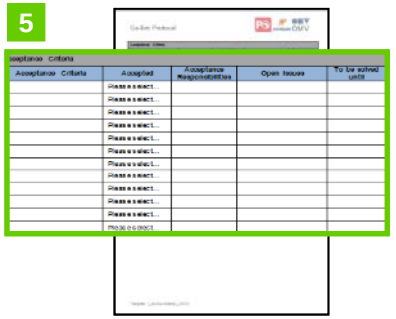




The detailed list of all acceptance criteria gives a final overview of all open issues and deadlines to be solved

4.6 Go- Live Protocol – DETAILS

5



Acceptance criteria	
Acceptance criteria	▸ Includes the last approved acceptance criteria list from Project Charter Execute and additional acceptance criteria added during Execute phase

Accepted	▸ Provides the status of each acceptance criteria
	▸ Set by the Project Manager according to the input from the Project Owner
	▸ Drop down field with following options:
	  ▸ **Yes**: condition met, acceptance criteria accepted by the Project Owner
	  ▸ **No**: conditions are not met, the acceptance criteria is not accepted. Open issues are to be defined and documented by the Project Manager according to input from Project Owner and deadlines set
	  ▸ **With minor issues**: the criteria is met with some issues which have to be documented and solved by the agreed deadline

Acceptance responsibility	▸ Pre-filled from the last approved Project Charter
Open issues	▸ List of open issues defined for criteria which were not accepted or accepted with minor issues ▸ Text field to be completed by the Project Manager (considering input of Project Owner)
To be solved until	▸ Date until each open issue has to be solved

Legend: No manual data input from PM required within this report / data coming from existing sources

A signed Handover Protocol represents the approval of the project financials, including the Project Budget and Project effects at TG 5

4.7 Hand Over Protocol – OVERVIEW

What to fill in the Handover Protocol

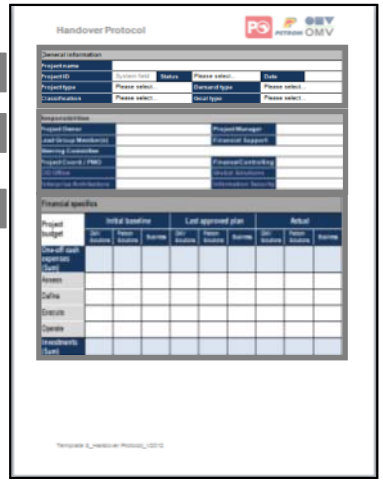
1 **General information**
- Pre-filled from last approved Project Charter

2 **Responsibilities**
- Pre-filled from last approved Project Charter

3 **Financial specifics**
- Pre-filled from last approved Project Charter

4 **Approvals**
- Pre-filled from last approved Project Charter

1
2
3



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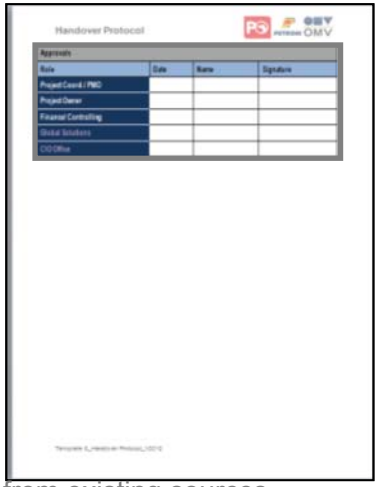


Legend: No manual data input from PM required within this report / data coming from existing sources

The Handover Protocol provides details on the final project financials (baseline, last approved and actuals)

4.7 Handover Protocol – DETAILS

3

Financial specifics	
Initial baseline	▸ Pre-filled from last approved Project Charter
Last approved plan	▸ Pre-filled from last approved Project Charter
Actuals	▸ Contains the final figures for actual costs broken down by project phases and location (OMV Solutions, Petrom Solutions, Business) ▸ The actual figures are transferred from SAP to Clarity via an automatic interface ▸ It is the Project Manager's responsibility to make sure all costs are booked correctly within SAP ▸ **Any open invoices before project closing (TG 5) must be booked in SAP via accruals in order to show all actual figures correctly**

3

Legend: No manual data input from PM required within this report / data coming from existing sources

The Lessons Learned Template summarises all relevant lessons of a project, which contribute to an organizational learning

4.8 Lessons Learned– OVERVIEW

What to fill in the Lessons Learned

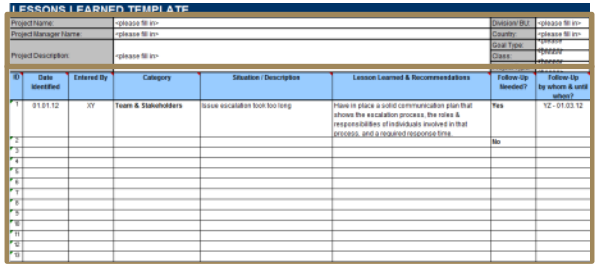
1 Project information

- Basic project information, prefilled from last agreed Project Charter Execute

2 Lesson information

- Detailed information about each lesson learned of the projects

1
2


LESSONS LEARNED TEMPLATE

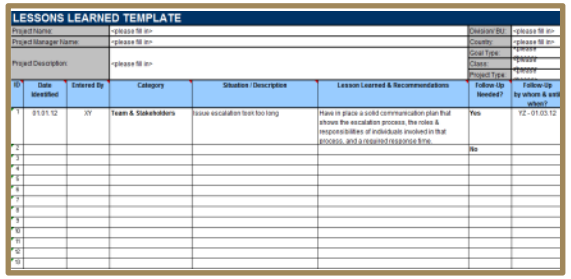
Project Name:	<please fill in>	Division/ BU:	<please fill in>
Project Manager Name:	<please fill in>	Country:	<please fill in>
Project Description:	<please fill in>	Goal Type:	<please fill in>
		Class:	<please fill in>

ID	Date Identified	Entered By	Category	Situation / Description	Lesson Learned & Recommendations	Follow-Up Needed?	Follow-Up by whom & until when?
1	01.01.12	XY	Team & Stakeholders	Issue escalation took too long	Have in place a solid communication plan that shows the escalation process, the roles & responsibilities of individuals involved in that process, and a required response time.	Yes	YZ - 01.03.12
2						No	
3							
4							
5							
6							
7							
8							
9							
10							
11							
12							
13							

Legend: No manual data input from PM required within this report / data coming from existing sources

Lessons Learned is a continuous process during the entire Life Cycle of the project and continues also after the project its closed

4.8 Lessons Learned– DETAILS


LESSONS LEARNED TEMPLATE

Project Name:	<please fill in>	Division/ BU:	<please fill in>
Project Manager Name:	<please fill in>	Country:	<please fill in>
Project Description:	<please fill in>	Goal Type:	<please fill in>
		Class:	<please fill in>
		Project Type:	<please fill in>

ID	Date Identified	Entered By	Category	Situation / Description	Lesson Learned & Recommendations	Follow-Up Needed?	Follow-Up by whom & until when?
1	01.01.12	XY	Team & Stakeholders	Issue escalation took too long	Have in place a solid communication plan that shows the escalation process, the roles & responsibilities of individuals involved in that process, and a required response time.	Yes	YZ - 01.03.12
2						No	
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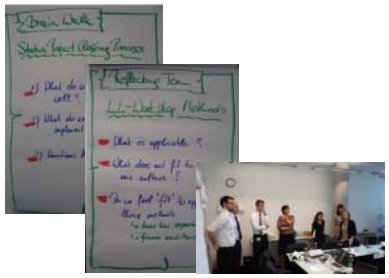
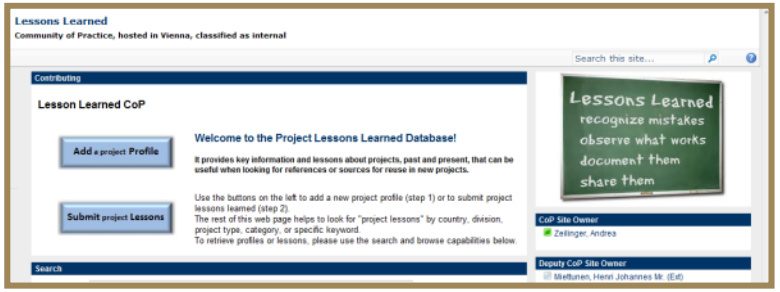




Collect & analyze lessons learned → **Conduct project closing session** → **Document & share lessons learned in OMV internal database**

- Lessons may be identified at any point during the project life cycle by the project team and key stakeholders
- The lessons learned are compiled, stored, and tracked through the project's duration

- Closing session or lessons learned workshop focuses on:
  - Identifying project success and project failures
  - Includes recommend-actions to improve future performance on projects

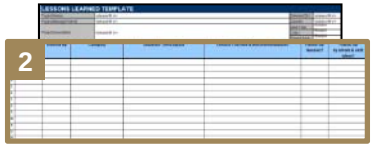
- Identified lessons are structured & documented in the internal OMV PM database

Through Lessens Learned we share experiences, recognize mistakes, observe what works, document & share them

4.8 Lessons Learned – DETAILS

2

ID	Date identified	Entered by	Category	Situation/ Description	Lesson Learned & Recommendations	Follow-up needed?	Follow-up by whom & until when?
A unique ID number used to identify the lesson learned in the LL template	Date when the LL had been identified (not the date when the information was entered in the system)	The name of the person who identified or the one who will edit the lesson learned. It is always a member of the team	Drop down field with the following categories: - Scope - Schedule - Risks - Team& - Stakehold. - Business benefits - External supplier relations	A background summary of how the lesson was learned	A clear statement of the lesson including benefits of using the lesson and suggestion how the lesson may be used in the future Include recommendations regarding the outcome of the corrective action, good or bad, to help guide future project managers	Indicates whether or not additional follow –up is needed Drop down field: Yes/ No	Might be the same person who identified the LL or another one. The follow-up is recommended to be done by the line organization who operates the project. Can be outside the project
Example:							
1	01.01.13	Xy	Team & Stakeholders	Issues escalation took too long	E.g: Have in place a solid communication plan that shows the escalation process, the roles & responsibilities of individuals involved in that process and a required response time	Yes	Mr. XXX 12/06/2013



Note: Lesson Learned assurance document is still under revision and changes may occur.

The Change Request report includes the Project Charter Execute approved at TG3 and all requested changes to it

4.9 Change Request (CR) – OVERVIEW

What to fill in the Change Request

1 Changes to responsibilities
- All project related changes of responsibilities

2 Changes to goals/ project objectives
- All changes to goals/ project objectives

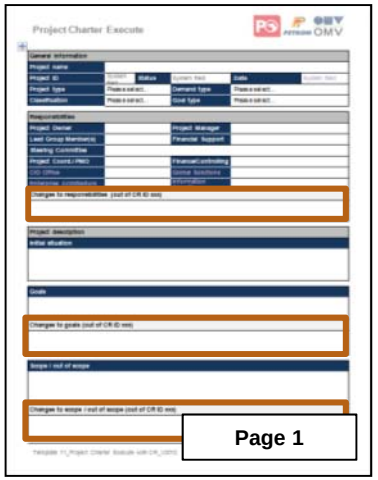
3 Changes to scope/ out of scope
- All changes to the scope/ out of scope

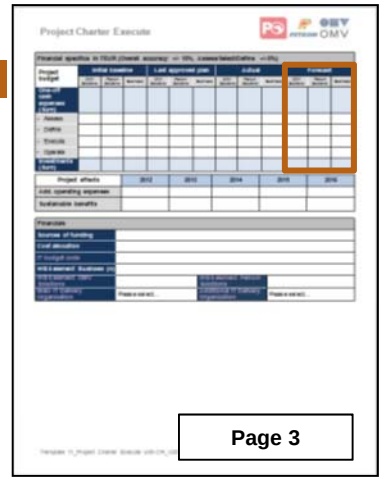
4 Changes to deliverables
- All changes to deliverables

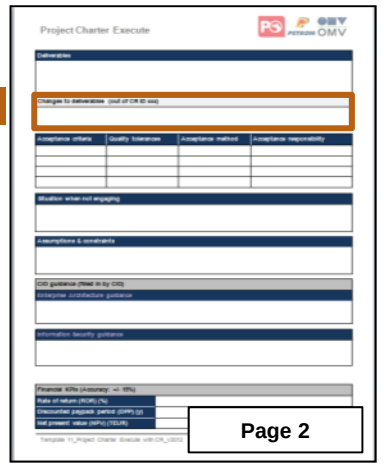
5 Financials specifics in TEUR / Forecast
- All relevant financial changes

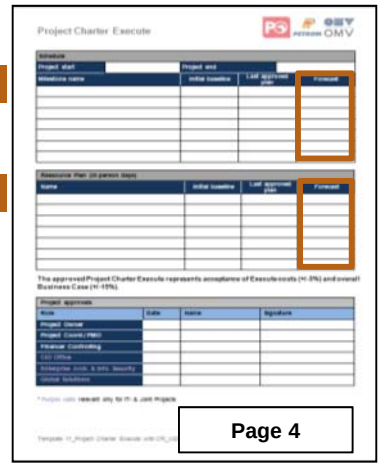
6 Schedule / Forecast
- All relevant changes in the schedule

7 Resource plan / Forecast
- Relevant resources estimation changes









Note: for more information regarding the changes which require a Change Request **please refer to** ***page 71***

All relevant changes of the project description have to be approved by PO or TG Committee and documented in the CR assurance document

4.9 Change Request (CR) – DETAILS

Page 1

1	**Responsibilities**	
	Changes to responsibilities (out of CR ID xxx)	▸ Relevant changes of project responsibilities have to be documented ▸ Changes in Quality Assurance-& Tollgate Committee roles do not need to be approved (they are named automatically from the line organization and not specifically to the project) **Examples:** ▸ Change of the PM, LGM or any other important resources of the project
2	**Goals/ Project Objectives**	
	Changes to goals (out of CR ID xxx)	▸ Due to changing conditions the goals/ objectives are often change ▸ Any change in goals/ objectives of the project has to be approved and documented **Examples:** ▸ Change in the intended effects of the project ▸ E.g. increase of cost reduction goal from 10 to 15%
3	**Scope/ Out of Scope**	

	Changes to scope / out of scope (out of CR ID xxx)	▸ Any change in scope of the project has to be approved and documented
		▸ Changes to scope of a project:
		  ▸ Task which where at the beginning of the project out of scope, can also get in scope, when certain conditions are changing
		  ▸ Changes in the extend of scope, as well as a reduction of scope
		▸ Watch also for numerous and uncontrolled small changes which exceed the scope continuously and can threaten your project success
		Examples:
		▸ E.g. a new country is included into scope for roll-out of IT tool

 Note: for more information regarding the changes which require a Change Request please refer to *page 71*

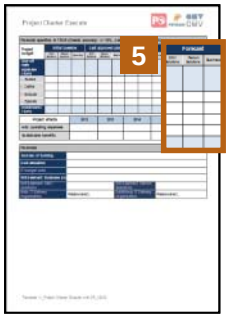
If significant changes occur after TG3 for the overall Business Case or scope, the project has to pass again the previous TG and its questions

4.9 Change Request (CR) – DETAILS

4	Deliverables	
	Changes to deliverables (out of CR ID xxx)	▸ Due to new decisions deliverables can change **Examples:** ▸ E.g. a training manual is needed in several languages

5	Financial Specifics in TEUR	
	Forecast	▸ Any financial related change has to be documented in this field and submitted to approval to the Project Owner ▸ It is recommended to communicate all changes in an honest & timely manner to the PO, but a formal Change Request is only required if the changes are exceeding a certain threshold, such as ▸ Project costs of next phase increasing by ≥5% ▸ Reduction of positive NPV by up to 15% ▸ Change in project financials can be caused by ▸ Project costs/ benefits are rising due to unforeseen events ▸ Necessary budget modification based on scope changes

Page 2

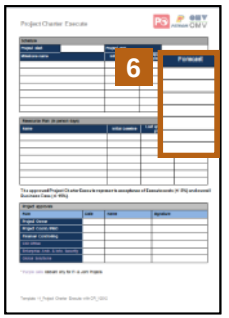


Page 3

Note: for more information regarding the changes which require a Change Request **please refer to** ***page 71***

A pre-requisite for a good project delivery is to communicate any changes in an honest and timely manner

4.9 Change Request (CR) – DETAILS



Page 4

6 Schedule

Forecast	▸ Changes which affect the project end date or other critical milestones have to be documented in the forecast field and approved by the Project Owner via the Change Request
	▸ Change in time, milestones
	  ▸ Time changes due to delays
	  ▸ Time modification based on scope changes

Page 4

7 Resource Plan

Forecast	▸ Any relevant change in the resource allocation plan which may affect the project delivery time or costs have to be documented in the forecast field and agreed by the Project Owner
	▸ Change in resources number or allocation
	  ▸ Time changes due to delays
	  ▸ Time modification based on scope changes

Note: for more information regarding the changes which require a Change Request **please refer to** ***page 71***

The Status Report contains the monthly status estimation and other relevant project information

4.10 Status Report - OVERVIEW

What you can find in the Status Report (1/3)

1 Project information
- Includes the project basic information from the last approved PIN/PC

2 Project status (set by PM)
- Status estimation with 6 traffic lights updated monthly by the PM

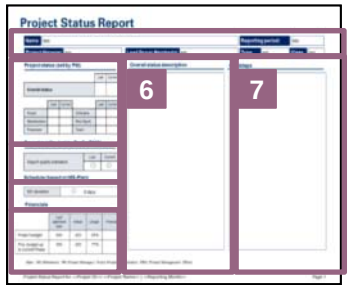
3 Report quality estimation (set by ProCo/ PMO)
- The ProCo's/PMO's estimation of the report & data quality

4 Schedule (based on Milestone plan)
- Overview of project milestone delays

5 Financials
- Summary of project budget figures (Plan, Forecast, Actual, …)

6 Overall status information
- Detailed status explanation as described by PM

7 Next steps
- Next steps for the project as described by the PM



Page 1

In addition to the overview, the Status Report contains several pages which focus on details regarding schedule, risks and financials

4.10 Status Report - OVERVIEW

What you can find in the Status Report (2/3)

8 Detailed project status report

- Includes detailed Information about the six project status dimensions

9 Schedule overview

- Includes details regarding the project phase- and milestones status

10 Risk management

- Includes the list of identified project risks with further details

11 Financials – project budget

- Includes details about the project budget for CAPEX and OPEX (Initial Baseline, Last approved plan, Forecast and Actuals)

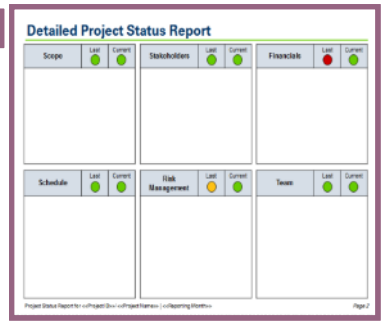
12 Financials – project effects

- Includes details about the financial project effects regarding operating costs and projects benefits

13 Financials – project budget overview

- Overview chart showing the details of the project budget

8



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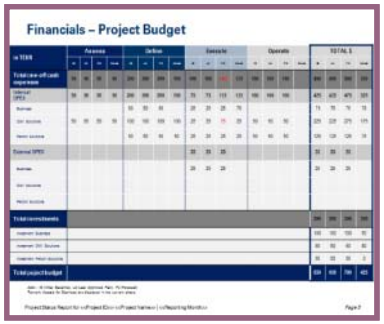

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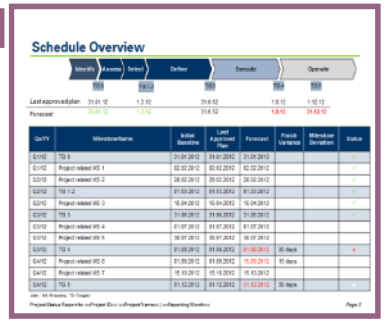

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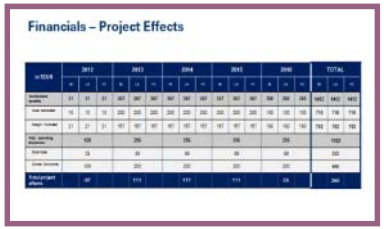

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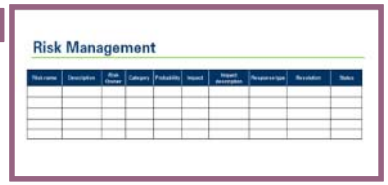

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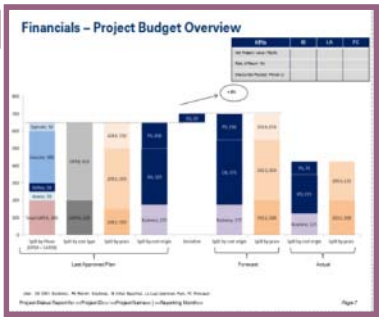


Page 7

For projects with Business and Global Solutions involvement, additional details of the delivery organization are provided by the Global Solutions PM or Lead Group Member respectively

4.10 Status Report - OVERVIEW

What you can find in the Status Report (3/3)

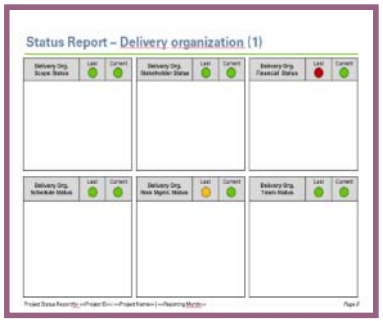
14 Status Report – delivery organization (1)

- Includes detailed Information for the Solutions relevant project status criteria
- ***Only applicable for projects with Business- AND Global Solutions contribution!***

15 Status Report – delivery organization (2)

- Overall delivery organization status description
- ***Only applicable for projects with Business- AND Global Solutions contribution!***

14



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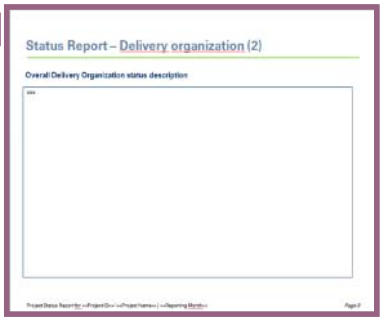

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The general project information section is filled in automatically with data as provided for the PIN/Project Charter

4.10 Status Report - DETAILS

1

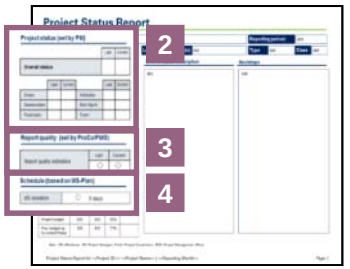
Page 1

1 Project information	
Name	▸ Self- explanatory project name ▸ In case abbreviations are used (e.g. KDR for **K**nock **D**own and **R**ebuild), a long description must always be provided in brackets)
Reporting period	▸ Period in which the reporting was created
Project Manager	▸ Definition of **one** Project Manager for any of the pure business, pure IT or Joint projects ▸ The Project Manager has the operative project responsibility for accomplishing the project in time, budget and scope and is assigned by the PO for the planning and management of the project, **see *page 23* for further information**
Lead Group Member(s)	▸ Definition of a Lead Group Member who supports the PM with the successful delivery of the project, **see *page 24* for further information** ▸ ***Only applicable for projects with Business- AND Global Solutions contribution!***
Type	▸ Type of the project: ▸ IT Project ▸ Business Project ▸ Joint Business/ IT Project **See *page 8* for further information**
Class	▸ Information as to whether it is a **A/B/C/D** project. The class can be empty if the project is in Identify phase **See *page 11* for further information**

Legend: No manual data input from PM required within this report / data coming from existing sources

The overall status of the project regarding its content, quality and time is filled in each month by the PM and ProCo/ PMO

4.10 Status Report - DETAILS



Page 1

2 Project status (set by PM)

Overall status	▸ Traffic light for the overall status is calculated automatically by the system as the worst of the six individual sub-status
Scope **Stakeholders** **Financials** **Schedule** **Risk management** **Team**	▸ Traffic lights for the six individual sub-status to indicate the following information: ◆ No problem – everything on track ◆ Problem identified – countermeasures are already introduced ◆ Problem!! – countermeasures have to be defined

3 Report quality (set by ProCo/ PMO)

Report quality estimation	▸ The report quality estimation is set each month by the ProCo/ PMO and includes the information about the compliance of the project to Project Management Minimum Standards for Business- & IT projects and the general reporting data quality ▸ Same qualification logic is used as for the project status ***Information provided by ProCo/ PMO***

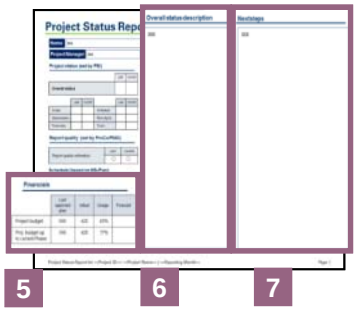
4 Schedule (based on MS-Plan)

MS deviation	▸ Deviation between the last approved milestone deadline and today's date, in days ▸ Automatically calculated by the system ◇ No deviation between due date and today's date (all MS delivered as planned) ◆ Deviation of >1 day

Legend: No manual data input from PM required within this report / data coming from existing sources

The detailed status description and the next steps provide narrative information about the project

4.10 Status Report - DETAILS



Page 1

5	**Financials**	
	Project budget	▸ Shows the total project budget (last approved plan, actual and forecast) (excluding operational costs)
	Project budget up to current phase	▸ Shows the total project budget which was actually used from the beginning of the project until the current phase (not as per today)
	Usage	▸ The difference between the actual used budget and the last approved plan ▸ The usage of the budget is expressed as a percentage and is available both for the entire project and up to the current phase
	Forecast	▸ Gives an estimation of the budget to be necessary for the next phases
6	**Overall status description**	
	Overall status description	▸ Short overall status summary of the project, used to explain the project situation ▸ Yellow or red Overall Status needs to be commented here
7	**Next steps**	
	Next steps	▸ Comprehensive description or listing of the next steps within the project ▸ For yellow or red status a description of actions, mitigations or planned countermeasures is mandatory

Legend: No manual data input from PM required within this report / data coming from existing sources

Within the detailed status report information the PM can further highlight the progress and issues within different dimensions of the project

4.10 Status Report - DETAILS

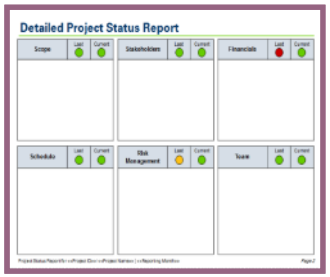
8

Detailed project status report

Scope
Stakeholders
Financials
Schedule
Risk management
Team

- This section is used by the Project Manager to provide more details to the project stakeholders about the most relevant aspects of the project
- Shows the project status of the last reporting and the current status of the project
  - No problem – everything on track
  - Problem identified – countermeasures are already introduced
  - Problem!! – countermeasures have to be defined
- For the fields with yellow or red status traffic lights comments are mandatory

8



Page 2

The schedule overview shows the summary of all milestones, their current status and any deviations to the plan

4.10 Status Report - DETAILS

9

Page 3

9 Schedule overview	
Life Cycle schedule	▸ The life cycle colors of the graphic show the current stage of the project: Dark blue — Phase passed Light blue — Current phase Light grey — Future phase ▸ Tollgate due date colors are automatically set by the system and show the current status: ▸ **GREEN**: TG passed in time, as planned ▸ **BLACK**: TG not due yet and no deviation anticipated ▸ **RED**: TG not passed but the due date exceeded or deviations are anticipated ▸ All tollgates are defined as key tasks and are highlighted in the milestone list
Qx / YY	▸ Shows the respective quarter of a year when the milestone is due, e.g.: Q4/13
Milestone name	▸ Brief and clear description of the milestones ▸ e.g.: Demand evaluated; Concept finished; Approval received; Manual presented
Initial baseline	▸ Originally first planned and approved end date of the milestone
Last approved plan	▸ Last approved end date of the milestone
Forecast	▸ Current or expected (unapproved) end date of the milestone, to be updated with the current forecast by the PM
Finish variance	▸ The deviation between last approved plan and Forecast
Milestone deviation	▸ The deviation in days between a milestone end date and the current date in case a milestone was not delivered as approved
Status	▸ Shows the status of all listed milestones: ▸ ✓ : Milestone completed ▸ ✗ : Milestone due, but not completed ▸ ◇ : Milestone deadline not reached yet

Legend: No manual data input from PM required within this report / data coming from existing sources

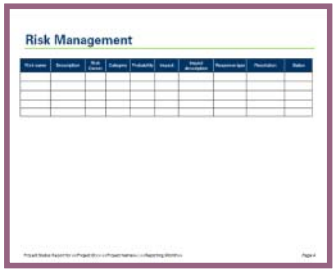
The Risk Management page provides an comprehensive overview of all risks, their impacts and planned countermeasures

4.10 Status Report - DETAILS

10 **Risk management**

- For further information on the risk management section within the Status Report **please refer to *page 102 – 106* of the manual!**

10



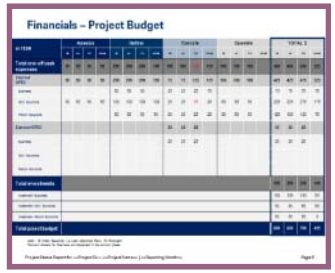
Page 4

Legend: No manual data input from PM required within this report / data coming from existing sources

The overview of the total project budget provides an overview of the cost split per phase and the usage of the budget

4.10 Status Report - DETAILS

11



Page 5

11 Financials- project budget	
Total one-off cash expenses	▸ Gives detailed information about the OPEX costs of the project split by Business, OMV Solutions and Petrom Solutions split up into: ▸ internal OPEX ▸ external OPEX and into the phases: ▸ Asses ▸ Define ▸ Execute ▸ Operate ▸ Expected Forecast numbers to be updated by the PM within monthly status report in case of deviations ▸ **Please refer to *page 71* for further information regarding the requirements of formally approving those Forecasts (Change Requests)**
Total investments	▸ Gives the detailed information about the CAPEX costs of the project split by Business, OMV Solutions and Petrom Solutions ▸ Total investment are shown for the entire project, and not split per phases ▸ Expected Forecast numbers to be updated by the PM within monthly status report in case of deviations ▸ **Please refer to *page 71* for further information regarding the requirements of formally approving those Forecasts (Change Requests)**
Total project budget	▸ Lists the total sum off all OPEX and CAPEX costs (Total one-off cash expenses + Total investments)
Color phases	▸ Dark blue : Passed phase ▸ Light blue : Actual phase ▸ Light grey : Phase not reached yet

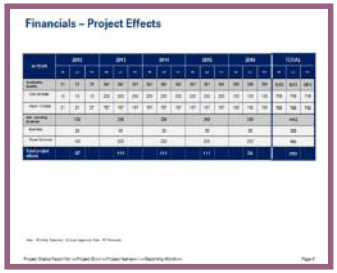
Abbreviations :
IB - Initial baseline
LA - Last approved plan
FC - Forecast

Legend: No manual data input from PM required within this report / data coming from existing sources

The Project Effects list the expected cost decrease, margin increase & operational expenses

4.10 Status Report - DETAILS

12



Page 6

12 Financials project effects	

Sustainable benefits	▸ Lists the actual and expected sustainable benefits (cost decrease and margin increase) for the relevant years split up into:
	  ▸ Initial baseline (IB)
	  ▸ Last approved plan (LA)
	  ▸ Forecast (FC)
	▸ Expected Forecast numbers to be updated by the PM within monthly status report in case of deviations
	▸ **Please refer to *page 71* for further information regarding the requirements of formally approving those Forecasts (Change Requests)**

Add. operating expenses	▸ Lists the operating expenses of:
	  ▸ Business
	  ▸ Global Solutions
	▸ Shown as a total amount for each of the relevant years

Total project effects	▸ Difference between the Sustainable benefits and the Additional operating expenses (Sustainable benefits – Additional operating expenses = Total project effect)

Legend: No manual data input from PM required within this report / data coming from existing sources

Abbreviations :
IB - Initial baseline
LA - Last approved plan
FC - Forecast

The Project Budget Overview page provides a clear overview of the project financials broken down into different cost types

4.10 Status Report - DETAILS

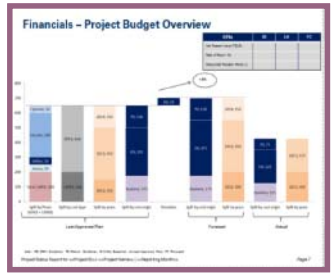
13

Financials- project budget overview	

KPI's	▸ Overview of the financial KPI's split into:
	  ▸ Last Approved Plan
	  ▸ Forecast
	  ▸ Actual
	▸ Expected Forecast numbers to be updated in Clarity by the PM and showed within the monthly status report in case of deviations
	▸ **Please refer to *page 71* for further information regarding the requirements of formally approving those Forecasts (Change Requests)**

Graph	▸ This page gives an overview of total project budget and shows the usage of the budget.
	▸ All data presented in the chart is split up into the sections:
	  ▸ Last Approved Plan
	  ▸ Forecast
	  ▸ Actual

13



Page 7

Abbreviations :
IB - Initial baseline
LA - Last approved plan
FC - Forecast

Legend: No manual data input from PM required within this report / data coming from existing sources

Additional pages for Joint -& IT projects with specific detailed status report on the IT part of the project

4.10 Status Report - DETAILS

14 Status report- delery organization (1)

Scope
Stakeholders
Financials
Schedule
Risk management
Team

- Additional page which gives a detailed status overview of the IT part of the project, by selecting the relevant traffic light color of each of the most relevant aspects of the project
- The overall Detailed Project Status Report and the Status Report specific for delivery organization has to be consistent from the project management logic
  - i.e.: if the overall project status report has the Financials red, the delivery organization status report can be green, but if the Financials of the delivery organization status report is red, the overall project status report has to be also red
- The content and purpose of this page are the same as for the overall Detailed Project Status Report
- ***Only applicable for projects with Business- AND Global Solutions contribution***

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Page 7

15 Status report- delivery organization (2)

Overall delivery organization status description

- Additional page on the detailed status overview of the IT part, opened for detailed description
- Text field for the IT responsible to give more details on the IT part of the project
- The content and purpose of this page should be in accordance to the previous page Status Report – delivery organization (1)
- ***Only applicable for projects with Business- AND Global Solutions contribution***

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Page 8

Legend: No manual data input from PM required within this report / data coming from existing sources

Table of Content – Tollgate Manual

ANNEX – Tollgate Manual

At the Tollgate the Project Owner is proposing the project to the TG Committee for a "decision to proceed"

5.1 Tollgate Manual – Definition

- Tollgates are defined at the points when a project should move from one phase to another during a project life cycle and should serve as an approval gate in which the tollgate committee will either endorse the decision as proposed by the Project Owner or overrule it by selecting one of the other options instead: Proceed; Pause; Recycle; Stop.
- Furthermore, any PO decision regarding cancellation, recycling or holding/pausing a project after TG 3 needs to be endorsed by the tollgate committee.

Tollgate (TG) format per class

Tollgate / Project Class	TG 0	TG 1-2	TG3	TG 4	TG 5
A	✓ Electronic	✓ Meeting	✓ Meeting	✓ Electronic	✓ Electronic
B	✓ Electronic	✓ Meeting	✓ Meeting	✓ Electronic	✓ Electronic
C	✓ Electronic	(✓)* Electronic	✓ Electronic	✓ Electronic	✓ Electronic
D	✓ Electronic	✗ Not applicable	✓ Electronic	✓ Electronic	✓ Electronic

Specifics for Bus. projects

Fore pure **Business projects** the approval will be obtained via PO/SC meeting and Clarity workflow. No tollgate meeting necessary.

(✓)* In case no costs for Define phase are required, this might be skipped/ combined with the next TG

Depending on the project classification the TG is done via an electronic approval or combined with a physical TG meeting

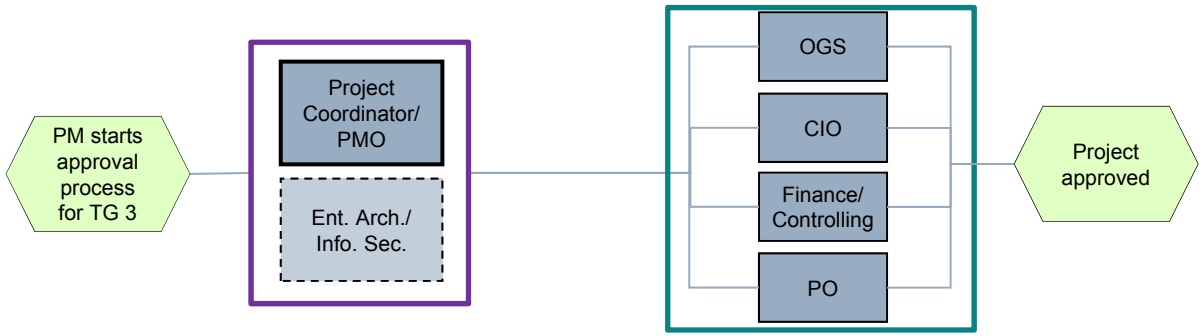
5.1 Tollgate Manual – Definition

Electronic TG approval

- PM starts the electronic TG approval workflow and all relevant approval roles get a notification to approve the project.

Process Overview

- The example shows the TG approval process for a Joint project class C



Depending on the project classification the TG is done via an electronic approval or combined with a physical TG meeting

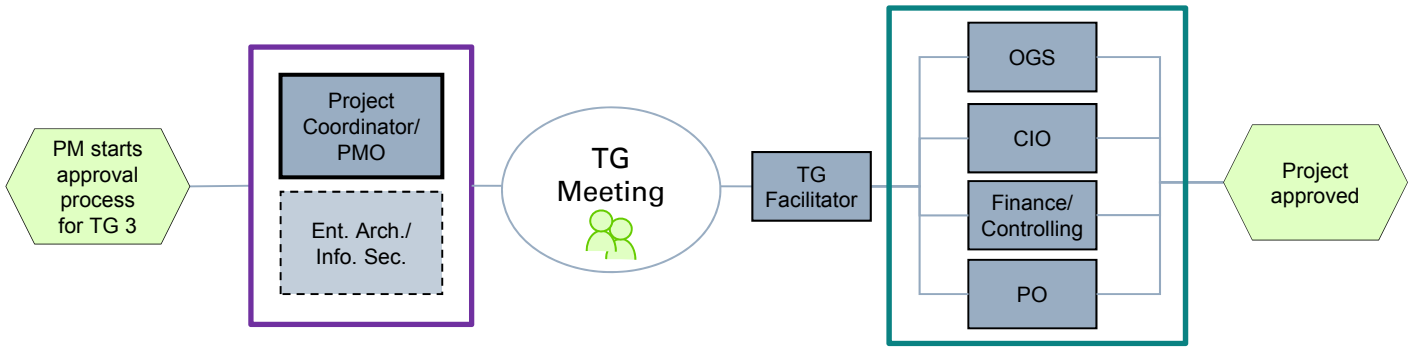
5.1 Tollgate Manual – Definition

Electronic TG approval combined with physical TG meeting

- PM starts the electronic TG approval workflow and the approvals from Project Coordinator/Program Management Office, Enterprise Architecture and Information Security are received electronically.
- The final endorsement for the TG is reached in a physical meeting with the following participants:
  - Project Owner
  - Project Manager (Lead Team Member)
  - OGS
  - CIO Office
  - Finance /Controlling
- After the physical TG meeting the TG facilitator approves the project in order to push the workflow forward to the Tollgate committee members to approve electronically.

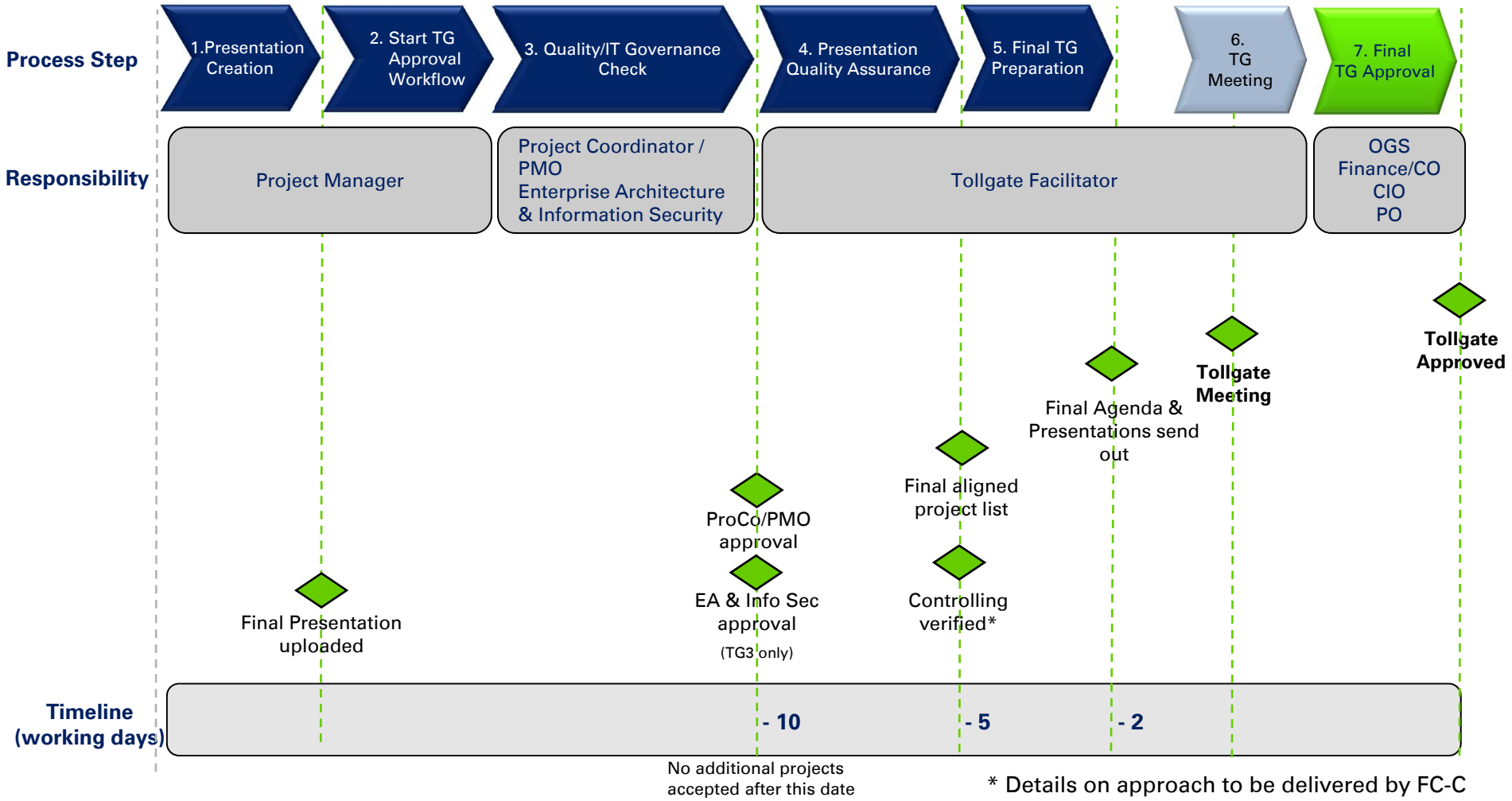
Process Overview

- The example shows the TG approval process for a joint project Class A



To present your project in a TG meeting needs some time of preparation in advance (relevant for Joint & IT projects, class A & B)

5.2 Tollgate Manual – Overview tollgate process



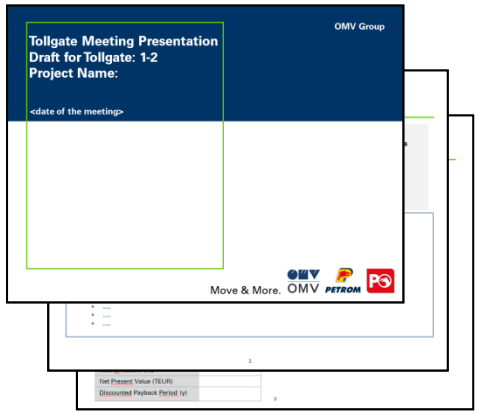
Tollgate preparation description (1)

5.2 Tollgate Manual – Detail process steps

Step 1

Presentation Creation

- Project Manager creates TG presentation according to the "How To Guide for TG presentations" and
- uploads it into the "collaboration" section ("documents") of the project in Clarity



Result

- Final TG presentation is created and uploaded to the respective project

Tollgate preparation description (2)

5.2 Tollgate Manual – Detail process steps

Step 2

Start Tollgate Approval Workflow

- Project Manager completes all information for the relevant tollgate in the Clarity Collaboration Manager, uploads the documents into collaboration and starts the TG approval workflow

Result

- Depending on the Tollgate the following documents are relevant for the TG meeting

TG 1 – 2		TG 3	
Document	Where	Document	Where
Project Charter DEFINE	Clarity	Project Charter EXECUTE	Clarity
Business Case DEFINE	Excel	Business Case EXECUTE	Excel
Stakeholder Analysis (only class A)	Excel	Risk Mgmt. Plan (only class A/B)	Clarity (Status Report)
TG 1-2 Presentation	PPT	Change Mgmt. Plan (only class A)	Excel
		Communication Plan (only class A)	Excel
		TG 3 Presentation	PPT

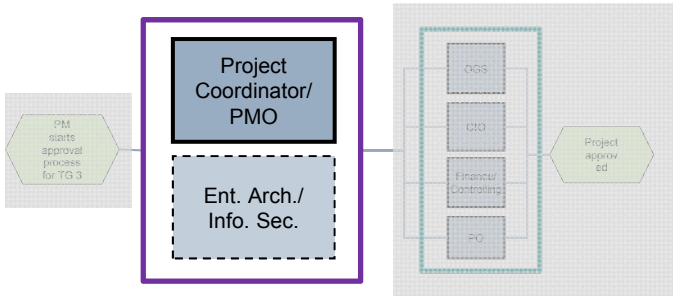
Tollgate preparation description (3)

5.2 Tollgate Manual – Detail process steps

Step 3

Quality & IT Governance Check

- Project Coordinator/Program Management Office verifies if all requirements are fulfilled for the requested Tollgate and approves the project
- Enterprise Architecture and Information Security verify the project from an IT governance point of view and give their approval depending on the Tollgate
- These approvals are done in parallel



Result

- ProCo/PMO approved
- Enterprise Architecture & Information Security approved

Tollgate preparation description (4)

5.2 Tollgate Manual – Detail process steps

Step 4

Presentation Quality Assurance

- TG facilitator distributes the project nominations & presentations with the request for feedback to the Tollgate Committee
- All recipients can raise their objections with rational additions, postponements, objections & withdrawals
- TG facilitator collects feedback and maintains overview

Result

- Final aligned project list

Step 5

Final Tollgate Preparation

- TG facilitator prepares and sends out the invitations with the final agenda and presentations

Result

- Agenda and presentations distributed to Tollgate Committee

Tollgate preparation description (5)

5.2 Tollgate Manual – Detail process steps

Step 6 **Tollgate Meeting**

- PO has presentation accountability
- Tollgate Committee Members are asked to endorse the decision of the PO
- Stand-ins have no approval power (unless delegated by the TG Committee member
- Timing (Slots) will be communicated by TG facilitator upfront and executed accordingly

Participants		TG 1-2	TG 3
Tollgate Committee Members	Global Solutions	Endorsing PO's decision with the focus on the ability to deliver the selected concept considering Solutions' budget & resources	
	CIO Office	Endorsing PO's decision with the focus on IT governance. Ensuring that potential synergies with other business areas or technologies have been accounted for	
	Finance /Controlling	Endorsing PO's decision by committing to the BC considering the overall group cost/benefit structure and priorities	
	Project Owner	Taking over the business decision to proceed/pause/resume or cancel the project by approving the project plan and budget; Commitment to release expenditure for the next phase as governed by the financial processes	
Project Team	Project Manager (optional)	Depending on PO's decision leading through the TG presentation	
	Lead Group Member (optional)	Depending on PO's decision contributing with expertise of respective area of responsibility	

Tollgate preparation description (6)

5.2 Tollgate Manual – Detail process steps

Content of the Tollgate Presentation	
TG 1-2 Have we looked wide enough? Have we selected the best concept?	TG 3 Implementation plan ready in necessary detail?
√ Big Picture	√ Big Picture
√ Facts & Figures	√ Facts & Figures
√ Stakeholder Analysis (only class A)	√ Risk Mgmt. Plan (only class A/B)
√ Project Budget	√ Change Mgmt. Plan (only class A)
√ Project Effects	√ Communication Plan (only class A)
√ Business Case Drivers	√ Project Budget
√ Business Case Overview	√ Project Effects
	√ Business Case Drivers
	√ Business Case Overview

Step 7 **Final TG Approval**

- All Tollgate Committee members endorse their decision by approving the Tollgate electronically in the Clarity System