



Mangonon, Dominic

Program Management Senior Lead - C14
Manager: Alana Detenbeck (AD76230)
Evaluated By: Alana Detenbeck (AD76230)

2022 Mid-Year Performance

Review

Organization: Alana Detenbeck (AD76230)
Location: 388 GREENWICH STREET - TOWER
01/01/2022 - 12/31/2022

Leadership Principles

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

Risk & Control Goals

2022 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the management of such risks.
- Ensure controls are operating in compliance with prescribed policies and procedures, including the Code of Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
- Promptly escalate issues regarding, but not limited to, people, processes and products and resolve in a timely fashion.
- Complete all assigned training on a timely basis.

Category: System Assigned - Risk & Control

Supports:

Risk & Controls:

- Deliver on 2022 Consent Order Action Plan Requirements
- Improve Citi's Control Environment by enhancing effectiveness of the first line control units, improving on-time issue remediation, audit exam results, and achieving regulatory commitments for MRA and equivalent issues.

Category: Risk & Control

Supports:

Financial Performance Goals

Client & Franchise Outcomes

- Deliver on regulatory business critical milestones
- In collaboration with the front line Risk & Control Officers, rollout new controls standards and deliver improved risk and control outcomes.

Category: Financial Performance

Supports:

Financial Performance:

- Manage the GBRCO organization "as a business" with improved resource capacity planning, appropriately prioritized investments, and full financial visibility at the enterprise level.

Category: Financial Performance

Supports:

Client & Franchise Outcomes Goals

Client & Franchise Outcomes

- Deliver on regulatory business critical milestones
- In collaboration with the front line Risk & Control Officers, rollout new controls standards and deliver improved risk and control outcomes.

Category: Client & Franchise Outcomes

Supports:

Mid-Year Evaluation

Please use the space provided to comment on performance highlights from the first part of the year.

Manager Evaluation

<u>Response:</u>	<u>Employee Evaluation</u>
Prior to joining full-time, Dom had already established a reputation as an analytical, articulate and strategically-minded individual as a result of his work on the Article XII1.e) compensating measures. Dom's initiative and ability to take a step back from an immediate task has continuously benefited the broader team and overall outcomes as he has proactively identified areas of potential risk, proposed solutions and worked directly with different stakeholders to address. Many of these examples relate to regulatory and board-level reporting, an area of focus for Citi as a whole. Dom has also demonstrated his diligence & collaboration by taking on additional tasks such as recruiting and the creation of FAQs/tips for new and existing staff. Dom has also been instrumental in the transition of reporting to the BAU team while spearheading the use of a new tool to further reduce potential inaccuracies and overall effort.	<p>Dom began the calendar year as a contractor and transitioned to a full-time employee in March 2022. Key highlights include:</p> <ul style="list-style-type: none"> • Reduced risk through design, ownership, and transition of team reporting / quality check process processes (MRA Oversight Tracker, Status Summary Report, Program Metrics, Smartsheet) • Improved the risk culture at Citi through oversight of Status Update reporting processes in systems of record • On-time business completion RBCM Deliverable 14.1 • Supported adjacent teams (TOC / Mapped reporting) in related processes to ensure consistency in and on-time business completion of MEBI Milestone • Delivering with quality and consistency on time-sensitive, ad-hoc requests at the level of detail required for executive audiences.

Additional Manager Evaluation

Please use the space provided to comment on the areas of focus for the remainder of the year.

Manager Evaluation

<u>Response:</u>	<u>Employee Evaluation</u>
For the remainder of the year, Dom should focus on initiating and leading the Quality Assurance project, which includes coordinating with the Article XII.1.e) program team, CPMC and ORM/IA to drive timely engagement and delivery. This will require Dom to continue to focus on attention to detail with shifting and sometimes conflicting priorities. Dom should also focus on expanding his core PM knowledge to further complement his strong consulting and business analyst background.	<p>For the remainder of the year, Dom is formally tagged against the Reporting and Quality Assurance related Milestones as part for Article XII.1d&e efforts. In addition to successful completion of project efforts Dom should also focus on the following</p> <ul style="list-style-type: none"> • Continuing to support successful transition of processes and knowledge transfer to CAO Analytics team • Continue buildup of team through recruiting, training, development of others • Continue to take an active role in supporting and leading broader team efforts

Additional Manager Evaluation

Development Items

Enhance & Apply PM knowledge and practices

Additional Information: Adhere to Citi's PM requirements and best practices including those related to PTS in order to drive timely delivery and improve the effectiveness of working group sessions as well as recurring and ad hoc meetings so that stakeholders can work proactively and efficiently. This will maintain focus on value-added work in order to deliver on our commitments and achieve high quality scores to serve as a PM role model.

Status: In Progress

Timely Information Flows

Additional Information: Given the continuously changing priorities and complexities arising from the Article XII.1.e action plan execution, continue to refine the skillsets needed to provide/receive timely information to/ from stakeholders. This includes driving: 1) the advance preparation and socialization of draft and/or complex, nuanced or challenging content in a concise, risk-focused manner allowing enough time (~24 hours) for stakeholders to absorb; 2) timely updates on progress, including any commentary and actions needed; and 3) forward-looking scheduling to reduce the occurrence of fire drills.

Status: In Progress

Strategic Risk Management Reporting
Yielded, due to the significant complexity
in the current environment, no
evidence to determine if the level of
resilience

Strategic Risk Management Reporting
Yielded, due to the significant complexity
in the current environment, no
evidence to determine if the level of
resilience

Strategic Risk Management Reporting
Yielded, due to the significant complexity
in the current environment, no
evidence to determine if the level of
resilience

Strategic Risk Management Reporting
Yielded, due to the significant complexity
in the current environment, no
evidence to determine if the level of
resilience

Please log in and provide your comment on performance relative to each of the above items.



Mangonon, Dominic

Program Management Senior Lead - C14

Manager: Alana Detenbeck (AD76230)

Evaluated by: Alana Detenbeck (AD76230)

2022 Year-End Performance

Review

Organization: Alana Detenbeck (AD76230)

Location: 388 GREENWICH STREET - TOWER

01/01/2022 - 12/31/2022

Acknowledgement

Employee

Entered by: Alana Detenbeck (AD76230) Date: 01/11/2023

Status: Yes, I have had a performance conversation with my manager

Comment:

Leadership Principles

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

Risk & Control Goals

2022 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the management of such risks.
- Ensure controls are operating in compliance with prescribed policies and procedures, including the Code of Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
- Promptly escalate issues regarding, but not limited to, people, processes and products and resolve in a timely fashion.
- Complete all assigned training on a timely basis.

(In ap) (X vs D) (Wkng Ptn) (Dvty) (Sent via email)

Category: System Assigned - Risk & Control

Risk & Controls:

- Deliver on 2022 Consent Order Action Plan Requirements
- Improve Citi's Control Environment by enhancing effectiveness of the first line control units, improving on-time issue remediation, audit exam results, and achieving regulatory commitments for MRA and equivalent issues.

Category: Risk & Control

Financial Performance Goals

Client & Franchise Outcomes

- Deliver on regulatory business critical milestones
- In collaboration with the front line Risk & Control Officers, rollout new controls standards and deliver improved risk and control outcomes.

Category: Financial Performance

Financial Performance:

- Manage the GBRCO organization "as a business" with improved resource capacity planning, appropriately prioritized investments, and full financial visibility at the enterprise level.

Category: Financial Performance

Client & Franchise Outcomes Goals

Client & Franchise Outcomes

- Deliver on regulatory business critical milestones
- In collaboration with the front line Risk & Control Officers, rollout new controls standards and deliver improved risk and control outcomes.

Category: Client & Franchise Outcomes

Adhere to Citi Program Management Council expectations and local Program and Project Management Procedures as exhibited by:

- Achieve PM Process Quality Adherence (PQA) Adherence Scores ≥90% (as applicable)
- Achieve PM Health Check Adherence Scores ≥90% (as applicable)
- Achieve PM Spot Check Adherence Scores ≥90% (as applicable)
- Complete 100% of applicable PM Annual Training curriculum by established due dates

Newly added as a result of Citi communication dated 9/19/22: " All Work Effort Managers within Citi that are identified in the PM inventories of any of Citi's Organization PMOs, and are direct staff, will need to adhere to a goal related to Project Management in 2022."

Category: Client & Franchise Outcomes

HOW Rating & Comments

Leadership Rating

Manager Evaluation

Rating: **2-Exceeds Expectations**

Response: Dom is a team role model for taking ownership and delivering at the quality needed for high priority regulatory deliverables. Examples include:

- Sharing lessons learned with other groups such as Reg. Engagement & functions such as EO&T.
- Delivering each assigned regulatory deliverable on time through his dedication and thoughtful approach
- Taking on additional tasks such as the MRA data set-up group, onboarding, MEBI milestone & significant contributor to other deliverables

He has been instrumental in recruiting over 15 team members.

Dom's experience in consulting and other financial institutions is often demonstrated through his ability to flex his leadership style depending on the task and audience at hand while not losing sight of either the broader picture or small details.

I want to thank Dom for his leadership this year and look forward to his continued active involvement next year.

Additional Manager Evaluation

Evaluated by:

WHAT Rating & Comments

Risk & Control Rating

Manager Evaluation

Rating: **2-Exceeds Expectations**

Response: Dom is very mindful of his role as a risk manager. He balances diplomacy with decision making and his focus on risk and

Employee Evaluation

Rating: **1-Exemplary**

Response: Throughout the course of the year, Dom has continued to show strong performance against Citi's 3 leadership principles:

Demonstrates a positive attitude and tenacity when dealing with ambiguity and constraints

Focused on driving meaningful change and value-add processes while promoting a "no task is too small" attitude

Anticipates risks, challenges and potential setbacks with providing recommendations that impact his own and the broader team

Delivers clear, consistent and high-quality communications and work output to influence the organization

Understands the strengths Citi as a whole with a natural desire to be a "change maker"

Employee Evaluation

Rating: **1-Exemplary**

Response: Dom has demonstrated his performance through the following:

controls has yielded a number of insights to enhance reporting and support better data quality outside of this team. His contributions include:

- EUC registration & maintenance
- Identifying potential risks to his deliverables in the action plan and taking mitigating actions including establishing a working group, consulting with other LOB/F including ORM and IA.
- Developed Team Wiki using Citi tools to drive consistency across a new growing team to share lessons learned & leading practices

- Owning review of materials for senior management for data accuracy and quality including the identification, escalation and documentation of material risks / issues (process, communication gaps, steps to mitigate/ address)
- Continues to serve as a trusted point of contact for Unmapped MRA reporting and analytics while ensuring that efforts are in line with those across the enterprise (e.g., working closely with GREEMO Gold Source Automation efforts, Templates @ Citi)
- Leads others to adopt a standard framework and approach to delivering work (e.g., taking the lead to ensure Scoping Documents are completed consistently across XII.1.d&e Program)

Additional Manager Evaluation

Evaluated by:

Financial Performance Rating

Manager Evaluation

Rating: **2-Exceeds Expectations**

Response: Dom has prioritized efficiency in his risk-focused execution approach. Examples include:

- Ongoing use and encouragement of new tools within and outside of the team for both deliverables & recruiting
- Leading efforts to review lower-cost resourcing options resulting in timelier recruiting efforts

Employee Evaluation

Rating: **1-Exemplary**

- Response:
- Provided parallel support and leadership to BAU teams and functions to ensure successful transition of key reports and processes performed while as a Citi-contractor.
 - Led efforts to grow his own team through active recruitment of strong candidates resulting in 2 direct hires and several (7+) additions to the broader team.
 - Promotes continuous development and active learning for his team by adopting and demonstrating use of new tools to drive team efficiency (e.g., Dom created and championed a Team Wiki to aid with new joiner onboarding and knowledge sharing)

Additional Manager Evaluation

Evaluated by:

Client & Franchise Outcomes Rating

Manager Evaluation

Employee Evaluation

Rating:	2-Exceeds Expectations	Rating:	1-Exemplary
Response:	Dom's performance has directly resulted in the completion of 1 milestone and over 7 deliverables on-time. His ability to document and present complex material in a concise and easy to understand format has been key to socializing the requirements with broad and diverse stakeholders. Dom is an early adopter and champions collaboration tools to drive effective communication and working sessions. He keeps the end user/consumer of the information in mind in each interaction.	Response:	Dom has demonstrated his performance through the following: <ul style="list-style-type: none">• Identified "call to action" and stood up senior working group to standardize and streamline MRA Data Structure across Systems of Records, helping to drive consistency in setup and reporting of Unmapped MRAs to internal and external stakeholders• Delivered, on-time, 2 CO deliverables (CAO-XIIDE.14.1 & 14.2); <i>Note: Validation of aforementioned deliverables was put on hold due to COAP re-planning efforts,</i>• Ownership of CAO-XIIE.P6 in accordance to CPMC requirements. <i>Note: As of self-review date, no PQA, Health Check or Spot Check has been performed for CAO-XIIE.P6 for which Dom is designated as Project Manager</i>• Partnering alongside teams to ensure success of shared work efforts: CPMC (Policy/Standard), TPO (MEBI Milestone)

Additional Manager Evaluation

Evaluated by:

Year-End Evaluation Ratings

Overall WHAT Rating

Manager Evaluation

Rating: **2-Exceeds Expectations**

Overall HOW Rating

Manager Evaluation

Rating: **2-Exceeds Expectations**

Employee Evaluation

Rating:

Employee Evaluation

Rating: **1-Exemplary**



Mangonon, Dominic

2023 Mid-Year Performance

Review

Program Management Senior Lead - C14

Organization: Alana Detenbeck (AD76230)

Manager: Alana Detenbeck (AD76230)

Location: 388 GREENWICH STREET - TOWER

Evaluated By: Alana Detenbeck (AD76230)

01/01/2023 - 12/31/2023

Acknowledgement

Employee

Entered by: Dominic Mangonon (DM61019) Date: 07/23/2023

Status: Yes, I have had a performance conversation with my manager

Comment: I have had a performance conversation with my manager. We discussed my strengths and areas for improvement, and I committed to taking steps to address any identified gaps.

Leadership Principles

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

Risk & Control Goals

2023 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the management of such risks.

- Ensure controls are operating in compliance with prescribed policies and procedures, including the Code of Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
- Promptly escalate issues regarding, but not limited to, people, processes and products and resolve in a timely fashion.
- Complete all assigned training on a timely basis.

Category: System Assigned - Risk & Control

Supports:

Project Management Goal

Adhere to Citi Program Management Council expectations and local Program and Project Management Procedures as exhibited by:

- Achieve PM Process Quality Adherence (PQA) Adherence Scores ≥90% (as applicable)
- Achieve PM Health Check Adherence score ≥90% (as applicable)
- Achieve PM Spot Check Adherence score ≥90% (as applicable)
- Complete 100% of applicable CPMC Annual Training Requirements by established due dates in LMS

Category: Risk & Control

Supports:

Risk and Control

- Deliver on GBRCO-owned Consent Order Commitments
- Timely remediation of GBRCO-owned issues
- Operationalize GBRCO-owned Manager Control Assessment

Category: Risk & Control

Supports:

Financial Performance Goals

Financial Performance

- Execute against approved 2023 Financial Plan
- Manage the GBRCO organization "as a business" with improved resource capacity planning, appropriately prioritized investments, and full financial visibility at the enterprise level

Category: Financial Performance

Supports:

Client & Franchise Outcomes Goals

Changemakers Network Goal

As part of my role as a Changemaker within Citi's New Way program, I will look to integrate new ways of working throughout 2023 and:

- Model the Ownership and Productive Debate habits.
- Listen to what is and isn't working, identify best practices and advise senior leaders.
- Share stories that help bring Citi's New Way to life and test other program ideas.
- Inspire colleagues to join Citi's New Way and celebrate successes.

Category: Client & Franchise Outcomes

Supports:

Client & Franchise Outcomes

- Attract, retain, and develop diverse, high-performing talent
- In collaboration with front line risk & control functions, rollout new controls standards, escalation policy, and control metrics
- Drive deeper engagement with in-business risk & control functions
- Embrace a culture of employee engagement, manager effectiveness, challenge, and innovation

Category: Client & Franchise Outcomes

Supports:

Consistently working to review, challenge and test assumptions of both my peers as well as the broader organization (e.g.,

action plan gaps without
anybody's RBCMs)

Completing all applicable CPMI trainings on time and achieving satisfactory scores on all quality reviews (i.e., PCA/Health Checks / Spot Checks)

HOW Commentary

Leadership HOW Comments

Manager Evaluation

Response: I agree with Dom's self-assessment. As a first-time manager at Citi, Dom has demonstrated his ability to coach and mentor his Tampa-based team including a new Citi hire. Dom prioritizes the greater good for Citi and implemented solutions that require more individual effort on his part in order to simplify for Citi-wide stakeholders such as the standardized central MRA reporting. Dom's coaching and mentoring is not limited to his direct reports, he is often recognized during skip-levels and team meetings as having assisted others including productivity tips, thought leadership and troubleshooting. Dom applies the skills gained from his consulting background to develop and refine clear and simple communications. He creates a collaborative and open-for-debate environment within his team and in large working group sessions.

Employee Evaluation

Response: Since my last performance review (YE2022), I have continued to seek opportunities to lead and take ownership while continuing to deliver at the level of quality needed for high priority regulatory deliverables. Examples include

- Successful transition from an individual contributor to a manager of 2 direct reports
- Identifying innovative solutions to enable desired outcomes (proposal and launch of standardized MRA reporting EUC to support adherence to requirements)

- Timely completion of assigned deliverables, in full adherence with policy and standard (e.g., implementation of Unmapped MRA Reporting Pilot)

Supporting team members by proactively leading opportunities to improve efficiency and the overall control framework :

- Coordination of TPO Scoping document efforts

- Assisting with Escalation framework design

- Process design for stakeholder/role identification across systems of record

- Process design for identifying and tagging new MRAs

Risk & Control Goal

Dom's Program Manager Work Queue performance and Risk & Control activities have been PQA Process Quality Audit scores consistently above 90% throughout the year. Dom has also demonstrated strong adherence to the EUC Control Framework by consistently meeting the due dates of his assigned CLM/C Agreements and demonstrating accountability for risks and issues.

Category : Risk & Control

Comments

We've communicated risk management

processes effectively (ESQ)

Additional Manager Evaluation

WHAT Commentary

Risk & Control Performance Comments

Manager Evaluation

Response: I agree with Dom's self-assessment. Dom can be relied upon to connect disparate information to identify potential risks or opportunities for improvement. A prime example of Dom's risk & controls mindset was the additional efforts undertaken in order to meet the due dates for certain key EUC control activities. Dom has also achieved 100% scores on both PQA and Spot Checks in his role as a Project Manager.

Employee Evaluation

Response: I've continued to foster a robust risk & control culture by:

- Working to identify, understand, document, manage and escalate potential risks to the firm (e.g., Treatment of Confidential Supervisory Information in Systems of Record, registration and ownership of Centralized Reporting EUC)

ed to good use
the best of our
team's skills and
abilities to support
our mission and
values. I have done
my best to ensure
that our team is
aligned with our
strategic goals and
objectives.

independence of business processes
including MRAOF and CPMC
efficiencies and opportunities for
improvement.

Consistently working to review,
challenge and test assumptions of
both my peers as well as the
broader organization (e.g.,
**Scoping Document treatment of
action plan gaps without
"Mitigating RBCMs"**)

Completing all applicable CPMC
trainings on time and achieving
satisfactory scores on all quality
reviews (i.e., PQA/Health
Checks / Spot Checks)

Additional Manager Evaluation

Financial Performance Comments

Manager Evaluation

Response: Dom consistently operates in a manner to improve the organization "as a business". In addition to the points he identified, he has directly increased the effectiveness of the broader team by documenting, promulgating and role-modeling productivity enhancing tips including the usage of shortcuts/hotkeys, Team Wiki and leveraging collaboration tools and canned reporting options. Dom has also been supporting his team to further develop their skills real-time by having them lead document reviews and internal working sessions.

Employee Evaluation

Response: I have worked to improve the organization as a business by:

- Identifying areas for improvement in existing processes and leading efforts to propose and implement new solutions (e.g., coordinating with MRAOF and CPMC Reporting to reduce lead time for creation of PTS MRA Reference #)
- Developing the skillsets of my direct reports to offer capacity and support to other areas of the team

Additional Manager Evaluation

Client & Franchise Outcomes Performance Comments

Manager Evaluation

Response: Dom has sought feedback and deployed different tactics in engaging his Tampa-based staff. His team is engaged and actively participates in both small and larger working group sessions. This collaborative

Employee Evaluation

Response: I have met client and franchise

and engaging environment has contributed to the success of rolling out new requirements to reduce risk at Citi.

outcomes by:

- Continuing to model Changemaker behavior (e.g., use of new Habits) for both myself and my reports, and providing feedback on adoption and related challenges

- Providing support to adjacent teams (ORM, MRA Oversight Function) on recruiting efforts

Additional Manager Evaluation



Mangonon, Dominic

Program Management Senior Lead

Manager: Angelique Schipani (AS32401)

Evaluated By: Angelique Schipani (AS32401)

2024 Mid-Year Performance Review

Organization: Angelique Schipani (AS32401)

Location: 388 GREENWICH STREET - TOWER

01/01/2024 - 12/31/2024

Acknowledgement

Employee

Entered by: Dominic Mangonon (DM61019) Date: 07/15/2024

Status: Yes, I have had a performance conversation with my manager

Comment: Completed in person 7/11/24

Leadership Principles

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

Risk & Control Goals

2024 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the management of such risks.
- Ensure controls are designed and operating in compliance with prescribed policies and procedures, including the Code of

- Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Comply with Citi's Control Framework and execute timely and accurately Citi's Manager's Control Assessment (MCA), where applicable.
 - Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
 - Promptly escalate issues regarding, but not limited to, people, processes, systems and products and resolve in a timely fashion.
 - Complete all assigned training on a timely basis.

Category: System Assigned - Risk & Control

Organization Alignment:

2024 Team Risk & Control Goal

Identify, prioritize & proactively manage dependencies, risks, exceptions and issues for relevant Article XII.1e. projects/ programs and communicate appropriately.

Category: Risk & Control

Organization Alignment:

Project Management Goals for Work Effort Manager

Adhere to Citi Program Management Council expectations and local Program and Project Management Procedures as exhibited by:

- Achieve PM Process Quality Adherence (PQA) Adherence Scores to $\geq 90\%$
- Achieve PM Health Check Adherence score $\geq 90\%$
- Achieve PM Spot Check Adherence score $\geq 90\%$
- Achieve PM Quality Scorecard Adherence score $\geq 90\%$
- Complete 100% of applicable CPMC Annual Training Requirements by established due dates in LMS

Category: Risk & Control

Organization Alignment:

Financial Performance Goals

2024 Team Financial Performance Goal

Identify and lead at least one process improvement to increase operational efficiency within the team or as part of the Article XII.1.e. Consent Order Commitments, ensuring that the analysis is documented including considerations as to potential impacts (both negative and positive).

Category: Financial Performance

Organization Alignment:

Client & Franchise Outcomes Goals

2024 Team Client & Franchise Outcomes Goal

Work towards the closure of 2024 Consent Order commitments to help the Firm make progress against exiting the Consent Order

Category: Client & Franchise Outcomes

Organization Alignment:

Changemakers Network Goal

As part of my role as a Changemaker within the Citi's New Way program, I will look to integrate new ways of working throughout 2024 and:

- Model the Working Together for Client Wins, Ownership, and Productive Debate habits.
- Listen to what is and isn't working and identify best practices.
- Share my experiences and stories that help bring Citi's New Way to life.
- Through my actions, inspire colleagues to join Citi's New Way and celebrate successes.

Category: Client & Franchise Outcomes

Organization Alignment:

HOW Commentary

Leadership HOW Comments

Manager Evaluation

Response: Dom is a bright and talented individual who always wants to do the right thing for Citi. He puts effort into completing tasks and has a number of deliverables across multiple regulatory commitments as he indicated in his write up. He has had a positive impact on RBCM 12 and that team has been grateful to have him. I appreciate the transparency Dom provided in his feedback both for his accomplishments and areas of improvement. Dom is always willing to be an individual contributor and help out his team or other teams. He takes the lead for the Unmapped MRA reporting which he documented in his feedback. The Budgeting and Resourcing team have also relied quite a bit on Dom's ability to complete reporting direction and some metric support. In his feedback, there was an indication of improvement in leadership influence and span. Dom would benefit in these circumstances to be very precise in roles and responsibilities. I do agree from a leadership perspective Dom needs to refine his craft and ensure consistency. I have noticed that sometimes we review the same items multiple times (or I will provide Dom with multiple reminders) to get to conclusion and I believe this speaks to Dom's self assessment around managing multiple responsibilities at the same time. In terms of feedback, Dom has received positive 360 feedback and the items that stand out to me that I also observed include collaboration, composure at all times and working to be results-focused.

Employee Evaluation

Response: Since my YE2023 review, I've continued to work towards my development goals and demonstrated adaptiveness and resilience throughout changes impacting the enterprise, organization, and team. This includes transitioning from a people manager to an individual contributor as part of simplification efforts which enabled me to take ownership and deliver on a wider range of needs critical to the team.

As a project lead for Work Effort Management related milestones, I oversaw testing and led activities related to the closure of RBCM CAO-XIIE.10 (RFI responses, socializations, checks). While the RBCM closed on-time, I recognize that need to continue to develop on feedback from year end to provide better transparency to team members on day-to-day vs. long term objectives. As lead for RBCM CAO-XIIE.11 testing and closure, I will have the opportunity to show further progress against this and have implemented regular reviews and meeting cadences with team members in anticipation upcoming deadlines.

In addition to managing sustainability and closure activities for CAO-XIIE.10 & 11, I also assumed responsibility for ensuring successful implementation across all Unmapped MRA change management activities including updates to policy, standard, taxonomy as well as ownership of drafting, testing and implementation of

Unmapped MRA Tool Enhancements BRD (CAO-XIIE 19.16). Further, I serve as a trusted resource and subject matter expert to adjacent teams (e.g. MRA Oversight Function, PM Oversight Function) in helping to resolve inquiries and discrepancies related to Unmapped MRAs requirements.

Separate from the RBCMs that I own, I have also contributed notable effort to improve on-time delivery of RBCM 12, by helping to define metrics and reporting for Budgeting & Resourcing at Citi and consistently going above and beyond expectations by providing expertise and capacity to help the team deliver clear, impactful messaging and content for management (e.g., storyboarding, process flows, controls mapping, sensitivity analysis).

Outside of the project work, I continue to be oversee, produce and distribute monthly Unmapped MRA Standardized Reporting while ensuring it's compliance with EUC requirements. More recently, I have also developed reporting and analysis for BOW Segmentation efforts, which I continue to produce twice weekly alongside my project related responsibilities.

While in the past I've demonstrated that I can operate independently to deliver on a variety of tasks and increased workload, I've more recently faced challenges in managing priorities across varying deadlines and am providing managers with timely updates on my progress and potential escalations. To be more effective in providing transparency to managers, I plan to ensure that updates are more frequent and provide sufficient background, including clear communication of any potential risks and decisions needed.

Additional Manager Evaluation

WHAT Commentary

Risk & Control Performance Comments

Manager Evaluation

Response: Dom cares about being a risk manager and

Employee Evaluation

Response: Contributions towards Risk & Control goals

protecting Citi but I think this is an area of improvement. He had an EERS Policy breach and he needs to play close attention to entitlements. Similarly there were some UAT items which were not ready for sign-off which we he almost approved. Lastly there was a deliverable for 11.3 that was missed for administrative reasons and losing track of deliverable dates. These nuances do need to be paid attention to and we have to take this very seriously.

Additional Manager Evaluation

Comment:

Financial Performance Comments

Manager Evaluation

Response: Running the program as a business is a great way to support financial performance. Being an early planner, making the best use of the resources on the team, consolidating deliverables where possible without compromising quality are good examples of achieving this goal.

We Succeed

- Create a culture of accountability and transparency
- Develop a strong leadership team
- Encourage innovation and creativity
- Foster a positive work environment
- Promote professional development
- Reward and recognize achievement

We Thrive

- Set clear goals and expectations
- Encourage collaboration and teamwork
- Provide resources and support
- Recognize and reward success
- Continuously improve and adapt
- Encourage innovation and creativity
- Foster a positive work environment
- Promote professional development
- Reward and recognize achievement

Additional Manager Evaluation

Client & Franchise Outcomes Performance Comments

Manager Evaluation

Response: The single most important contribution we can make is meeting the regulatory commitment deadlines. I do disagree with Dom's notes as I don't think RBCM 12 has accelerated, in fact it is late. As he is a team member and not the work effort manager I do not think this specifically reflects on Dom as I believe he has not missed a reporting deadline that was assigned to him. In the second half of the year Dom could focus on

the areas that include:

- Development and production of Book of Work, Investment Request, and Benefits analysis & reporting to support of BoW Data Cleanup efforts ahead of Iteration 2 migration
- Ongoing oversight and resolution of gaps / discrepancies / inquiries related to Unmapped MRA requirements (e.g., from MRAOF / PM Oversight)

Employee Evaluation

Response: Contributions to Financial goals include:

- UAT completion / sign - off of Unmapped MRA Tool Enhancements (CAO-XIIE.19.16) which automate reporting and reduce risk associated with data quality issues.
- Identified opportunities to consolidate reporting needs / streamline requirements across the program and organization (e.g., leveraging reporting used for BoW Data Cleanup for RBCM 12 metrics)

As noted in YE2023 Manager commentary, I should continue to be thorough in notes and escalate potential concerns early to reduce rework for both myself and the team and ensure accountability in progressing against deadlines.

Employee Evaluation

Response: Contributions to Client & Franchise Outcome goals include:

- Accelerated delivery of RBCM 12 through thought leadership and development of supporting content (e.g. frameworks, best practices, samples / wireframes, discussion materials)
- Ongoing ownership and management of Standardized Reporting EUC

having clear deliverables and deadlines and meeting them for all his deliverables including 12. He can help drive that clarity. Well to begin Identifying what is required to exit the EUC and transitioning that with a date would be a great start.

To include in his transition plan
below is his current approach to the EUC
and a statement of his proposed U of
(including OAG / ROADMAP plan)

Additional Manager Evaluation

- On time completion of RBCM CAO-XIIE. 10

As noted in the "How" commentary, I should continue to provide transparency to both managers and team members through frequent communication of status and emerging risks to alleviate unnecessary stress and avoid missed internal deadlines.

- o Standardized closure process to ensure outcomes (as defined by the work effort description and criteria) are confirmed.



Mangonon, Dominic

Program Management Senior Lead

Manager: Angelique Schipani (AS32401)

Evaluated by: Angelique Schipani (AS32401)

2024 Year-End Performance Review

Organization: Angelique Schipani (AS32401)

Location: 388 GREENWICH STREET - TOWER

01/01/2024 - 12/31/2024

Acknowledgement

Employee

Entered by:

Date:

Status:

Comment:

Leadership Principles

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

Risk & Control Goals

2024 Team Risk & Control Goal

Identify, prioritize & proactively manage dependencies, risks, exceptions and issues for relevant Article XII.1e. projects/programs and communicate appropriately.

Category: Risk & Control

2024 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the

management of such risks.

- Ensure controls are designed and operating in compliance with prescribed policies and procedures, including the Code of Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Comply with Citi's Control Framework and execute timely and accurately Citi's Manager's Control Assessment (MCA), where applicable
- Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
- Promptly escalate issues regarding, but not limited to, people, processes, systems and products and resolve in a timely fashion.
- Complete all assigned training on a timely basis.

Category: System Assigned - Risk & Control

Project Management Goals for Work Effort Manager

Adhere to Citi Program Management Council expectations and local Program and Project Management Procedures as exhibited by:

- Achieve PM Process Quality Adherence (PQA) Adherence Scores to $\geq 90\%$
- Achieve PM Health Check Adherence score $\geq 90\%$
- Achieve PM Spot Check Adherence score $\geq 90\%$
- Achieve PM Quality Scorecard Adherence score $\geq 90\%$
- Complete 100% of applicable CPMC Annual Training Requirements by established due dates in LMS

Category: Risk & Control

Financial Performance Goals

2024 Team Financial Performance Goal

Identify and lead at least one process improvement to increase operational efficiency within the team or as part of the Article XII.1.e. Consent Order Commitments, ensuring that the analysis is documented including considerations as to potential impacts (both negative and positive).

Category: Financial Performance

Client & Franchise Outcomes Goals

2024 Team Client & Franchise Outcomes Goal

Work towards the closure of 2024 Consent Order commitments to help the Firm make progress against exiting the Consent Order

Category: Client & Franchise Outcomes

Changemakers Network Goal

As part of my role as a Changemaker within the Citi's New Way program, I will look to integrate new ways of working throughout 2024 and:

- Model the Working Together for Client Wins, Ownership, and Productive Debate habits.
- Listen to what is and isn't working and identify best practices.
- Share my experiences and stories that help bring Citi's New Way to life.
- Through my actions, inspire colleagues to join Citi's New Way and celebrate successes.

Category: Client & Franchise Outcomes

HOW Rating & Commentary

Leadership Rating

Manager Evaluation

Rating: 4-Needs Improvement

Employee Evaluation

Rating: 3-Valued Contributor

Response: Dom is a bright and personable and is a team player. He is always willing to lend a hand to support the team. Having said that, from a leadership perspective, Dom needs improvement. I appreciate the self awareness in Dom's closing summary and do agree that the items Dom listed were in his domain.

Specifically, between February 2024 and November 2024, Dom was expected to complete certain activities as the Project Lead, but the final output was not consistent with the communicated expectations for the role.

For example:

January 2024 – August 2024- Dom was tasked with completing drafts of 6, 10 and 11 RBCM Closure Wrappers and Artifact Tables, prior to which Dom had already engaged in multiple interactive sessions, received coaching, and previously submitted wrappers as examples. When the draft RBCM Closure Wrappers were reviewed, it did not contain accurate information, properly reference the required artifacts, reflect complete / consistent / accurate artifact descriptions, and incorporate prior feedback from resource / subject-matter experts, colleagues and leadership.

Additionally, standard materials evidencing completion criteria were not timely provided to an internal Consent Order quality review team.

July 2024 – November 2024 – Since 2023, Dom was tasked with maintaining an EUC in compliance with the EUC Policy to prepare Unmapped MRA reporting. This required updating the reporting attributes as well as control documentation for changes. In July 2024, Dom was asked to prepare the EUC retirement plan.

EUC retirement plan has still not been produced as of November 2024.

Consistently throughout this period, Dom has missed internal deadlines, requiring reminders from both his manager and others on the team. On multiple instances, during meetings with the project sponsor and his manager, the action items were not completed, the materials had inconsistencies and his reviews were incomplete. Multiple discrepancies were identified during the reconciliation review process, resulting in

Response: Since my mid-year assessment, I've sought to improve on the development points I identified for myself as well as those raised by managers, while continuing to manage and deliver across a range of overlapping deadlines and competing priorities.

In addition to the responsibilities and milestones highlighted in my mid-year self-assessment, more recent contributions from the second half of the year are as follows:

As owner of the Unmapped MRA Requirements BRD (Deliverable 19.16) , I was also solely responsible for performing UAT on behalf of the team as well as for signoff of all user stories. In performing thorough testing, I was able to identify critical defects and successfully coordinated across multiple stakeholders (e.g., ETR, RBCM 19) to ensure that defects/bugs were properly logged, tracked, and remediated.

As project lead for RBCM 11 (Closure Requirements), I was able to build on experience and lessons learned in previous milestones (e.g., RBCMs 6 & 10) to successfully lead the team through testing and on-time submission with minimal setbacks.

As a significant contributor to RBCM 12 (Budgeting & Resourcing) efforts, I've taken on additional responsibility by helping to design, lead and manage two additional high-risk EUCs for CPMC. In doing so, I have been able to leverage knowledge and best practices gained from ownership of the Standardized Reporting EUC to ensure that appropriate controls are in place.

As primary owner for the Standardized Reporting EUC, I continue to ensure its compliance with EUC requirements and ongoing reviews -- more recently, managing and successfully completing two detailed reviews for which the team was randomly selected.

While I feel that I've shown improvement since my mid-years, I believe that there opportunities for development in managing expectations for my manager's particularly in

identifying additional attributes that were not included in the published Unmapped MRA Requirements document or in the BRD requirements for PTS. Reviews of his work identified that progress was being incorrectly and illogically reported.

With the benefit of additional time and feedback to perform secondary reviews, the materials prepared by Dom still contained inaccuracies and missing information (e.g., incorrect reconciliation responses, incorrect Harvey balls).

As a result of the failure to follow instructions, as noted above, additional time was required to identify the appropriate artifacts, correct errors, recommunicate instructions, complete multiple reviews of the same documents, as well as provide similar feedback on multiple occasions. Additional time was also required by the team to trace discrepancies, recommunicate expectations, correct materials published to SharePoint and submit fixes to correct system of record reporting. This impacts the team's ability to timely complete necessary tasks and jeopardizes project deadlines which are critical to meet Citi's objectives.

I am committed to supporting Dom and suggest the following actions:

- Communicating progress (including delays and potential challenges) in advance of the agreed due date and/or delivery timeframe;
- Performing self-reviews & checks for completeness, consistency, and accuracy prior to submission;
- Presenting and clearly communicating approach, assumptions, content to be developed, and remaining work to be completed
- Improving attention to detail and understanding of work assigned:
 - o Reviewing detailed notes and action items from meetings to proactively address items in a timely manner
 - o Incorporating feedback received into the assigned task / work product
 - o Reviewing work product prior to submission to ensure it is complete / accurate, does not have typos, formatting errors etc.

situations where there are multiple or complex considerations needed to satisfy an end goal. A recent example of this is the Standardized Reporting EUC which was initially expected for retirement in September, but has required more discussion than expected.

I am happy to support Dom and I believe he can be successful here at Citi.

Additional Manager Evaluation

Evaluated by:

WHAT Rating & Commentary

Risk & Control Rating

Manager Evaluation

Rating: **4-Needs Improvement**

Response: I do believe Dom cares about being a risk manager and protecting Citi but this is an area where Dom needs improvement. When having direct reports, being compliant with entitlements and what this means is critical. In 2024 there was an EERS breach. Also continuing compliance with EUC reviews, without reminders, is important as is the preparedness to do it in advance of deadlines to prevent unforeseen difficulties.

Employee Evaluation

Rating: **3-Valued Contributor**

Response: I feel that I've shown improvement against the manager feedback provided in my mid year as demonstrated through my proactive management and completion of EUC compliance reviews as well through effective management of stakeholders (e.g., IA, ORM) as part of RBCM 11 closure. Further, I have taken on additional responsibilities against this goal by helping to manage and oversee the Budgeting & Resourcing EUCs for RBCM 12.

Additional Manager Evaluation

Evaluated by:

Financial Performance Rating

Manager Evaluation

Rating: **3-Valued Contributor**

Response: Dom has met expectations in the Financial Performance category. Some of the areas that financial performance are evidenced is in utilization of resources and timeliness. I agree Dom had multiple deliverables since transitioning to an individual contributor and moving forward he can manage his work more strategically and proactively (early planner) and less "just in time" and reactively. For example, multiple meetings designed for deliverable reviews get pushed to later dates because of new priorities where I would have expected the preparation for those meetings to have been done in advance.

Employee Evaluation

Rating: **3-Valued Contributor**

Response: In transitioning to an individual contributor in 2024, I feel that I have been able to offer significant contributions to help the team deliver against a brought set of goals as noted collectively in the How section of my mid-year and end-of-year self assessment. In executing my work I demonstrate that I am able to operate independently and efficiently with minimal oversight, while remaining engaged with the team to offer insights and identify opportunities for improvement/simplification across the program (e.g., consolidation of reporting processes).

Additional Manager Evaluation

Evaluated by:

Client & Franchise Outcomes Rating

Manager Evaluation

Rating: **3-Valued Contributor**

Response: Dom was a valued contributor and especially created significant value for the Budgeting & Resourcing team - taking on a lead role with the Reporting and metrics aspects of the workstream. He was well regarded by his team and has been given positive feedback on his contributions. Positive feedback includes the following:

- maintains composure
- results-oriented
- problem-solving
- knowledgeable
- collaborative

I appreciate that Dom is a changemaker and I would like to see more utilization of the goals he had for 2024 listed below.

- Model the Working Together for Client Wins, Ownership, and Productive Debate habits.
- Listen to what is and isn't working and identify best practices.
- Share my experiences and stories that help bring Citi's New Way to life.
- Through my actions, inspire colleagues to join Citi's New Way and celebrate success

Additional Manager Evaluation

Evaluated by:

Year-End Evaluation Ratings

Overall WHAT Rating

Manager Evaluation

Rating: **3-Valued Contributor**

Overall HOW Rating

Manager Evaluation

Rating: **4-Needs Improvement**

Employee Evaluation

Rating: **3-Valued Contributor**

Response: I feel that I have been able to meet this goal as demonstrated through the successful closure and submission of regulatory commitments (i.e. RBCM 10 & 11).



Mangonon, Dominic

Program Management Senior Lead - C14

Manager: Alana Detenbeck (AD76230)

Evaluated by: Alana Detenbeck (AD76230)

2023 Year-End Performance

Review

Organization: Alana Detenbeck (AD76230)

Location: 388 GREENWICH STREET - TOWER

01/01/2023 - 12/31/2023

Acknowledgement

Employee

Entered by: Dominic Mangonon (DM61019) Date: 12/11/2023

Status: Yes, I have had a performance conversation with my manager

Comment: I am appreciative of the feedback provided and look forward to building on the development points in the coming year.

Leadership Principles

We Deliver With Pride

We strive for client excellence, controls excellence and operational excellence.

- Simplifies, standardizes and clarifies work.
- Holds self and others accountable for managing risk with appropriate controls.
- Creates long-term value by fixing root causes.
- Takes pride in always doing the right thing.

We Succeed Together

We value and learn from different perspectives to surpass stakeholder expectations.

- Breaks down barriers to deliver the best of Citi.
- Measures performance through the lens of our stakeholders.
- Invests in colleagues from all backgrounds.
- Shows empathy for colleagues, clients and communities.

We Take Ownership

We challenge one another to a higher standard in everything we do.

- Greets change with optimism, curiosity and resilience.
- Speaks up with candor and welcomes challenge from others.
- Learns from experiences, adapts and improves.
- Prioritizes the greater good when contributing to and honoring group decisions.

Risk & Control Goals

2023 Risk & Control Goal

We are all risk managers. To foster a robust Risk and Control culture, each individual must assess and comply with the following requirements:

- Understand Citi's approach to managing risk, as described in our Enterprise Risk Management Framework, and how it relates to your (and your team's) role and responsibilities.
- Identify the risks that arise from your (and your team's) activities, and assess, escalate and actively engage in the management of such risks.
- Ensure controls are operating in compliance with prescribed policies and procedures, including the Code of Conduct, as well as applicable laws, rules and regulations and take action in remediating them when they are not.
- Own the accuracy of the data you are responsible for and comply with applicable data governance standards.
- Promptly escalate issues regarding, but not limited to, people, processes and products and resolve in a timely fashion.
- Complete all assigned training on a timely basis.

Category: System Assigned - Risk & Control

Risk and Control

- Deliver on GBRCO-owned Consent Order Commitments
- Timely remediation of GBRCO-owned issues
- Operationalize GBRCO-owned Manager Control Assessment

Category: Risk & Control

Project Management Goal

Adhere to Citi Program Management Council expectations and local Program and Project Management Procedures as exhibited by:

- Achieve PM Process Quality Adherence (PQA) Adherence Scores ≥90% (as applicable)
- Achieve PM Health Check Adherence score ≥90% (as applicable)
- Achieve PM Spot Check Adherence score ≥90% (as applicable)
- Complete 100% of applicable CPMC Annual Training Requirements by established due dates in LMS

Category: Risk & Control

Financial Performance Goals

Financial Performance

- Execute against approved 2023 Financial Plan
- Manage the GBRCO organization "as a business" with improved resource capacity planning, appropriately prioritized investments, and full financial visibility at the enterprise level

Category: Financial Performance

Client & Franchise Outcomes Goals

Client & Franchise Outcomes

- Attract, retain, and develop diverse, high-performing talent
- In collaboration with front line risk & control functions, rollout new controls standards, escalation policy, and control metrics
- Drive deeper engagement with in-business risk & control functions
- Embrace a culture of employee engagement, manager effectiveness, challenge, and innovation

Category: Client & Franchise Outcomes

Changemakers Network Goal

As part of my role as a Changemaker within Citi's New Way program, I will look to integrate new ways of working throughout 2023 and:

- Model the Ownership and Productive Debate habits.
- Listen to what is and isn't working, identify best practices and advise senior leaders.
- Share stories that help bring Citi's New Way to life and test other program ideas.
- Inspire colleagues to join Citi's New Way and celebrate successes.

Category: Client & Franchise Outcomes

HOW Rating & Commentary

Leadership Rating

Manager Evaluation

Rating: 3-Valued Contributor

Employee Evaluation

Rating: 2-Exceeds Expectations

Response: As a first-time people manager with the added element of his team's location in a different city, this year has been filled with learning for Dom. Dom has continued his ability to take complex topics and translate into understandable messaging. During a short time period, Dom was able to assimilate a lot of disorganized information (oral and written) and produce materials for various working group sessions and leadership meetings. This was highly valued and recognized by the existing team members who were very appreciative of his assistance and impressed with the speed in which he was able to understand and deliver. Dom often champions efficiencies and development in the broader team such as his efficiency tools/technology tips. There was a noticeable improvement in one of Dom's team member's abilities in this area as a result of the coaching received from Dom.

Dom needs to continue to provide increasing transparency to both his managers as well as his direct reports on the day-to-day and longer term objectives. While each of Dom's deliverables were ultimately on-time, frequent and often communication to confirm priorities/timing and discuss potential obstacles/challenges would have greatly alleviated the stress and additional demands on Dom and the broader team.

Response: Over the course of 2023, I've continued to serve as a role model for ownership and delivering at the quality needed for high priority deliverables with the newly-added responsibility of managing two Tampa-based direct reports. As a new manager, I encourage an open and collaborative environment by holding myself accountable and candidly reflecting on pitfalls and lessons learned to improve the team. One example of this is through leading testing, closure and post-mortem of RBCM 6 which successfully closed on time despite facing unanticipated resourcing challenges.

Outside of my assigned deliverables and management of my direct reports, I am also a valued by the broader team as contributor who is always willing to provide support and who can consistently deliver with professionalism, perspective, and the firm's best interest in mind - regardless of how seemingly complex (e.g., translating MRA-specific requirements into BRDs for PTS) or simple the task (e.g., assisting with testing data requests). In working with the broader team, I am able to lead by teaching others (e.g., hosting a hotkeys workshop) and taking the time to provide candid feedback and suggestions (e.g., working with PMO team to suggest landing page, improvements to meetings)

Overall I feel that I demonstrate the Leadership Principles by consistently taking on opportunities to tackle complex problems, invest in the firm, and serve as a Changemaker to model Citi's best practices and code of conduct.

Additional Manager Evaluation

Evaluated by:

WHAT Rating & Commentary

Risk & Control Rating

Manager Evaluation

Rating: **3-Valued Contributor**

Response: Dom is mindful of risk and has implemented

Employee Evaluation

Rating: **2-Exceeds Expectations**

Response: Examples of how I've met risk & control

mechanisms to drive better quality deliverables for regulatory commitments. Dom identified a better solution, with greater controls, to encourage the adoption of the reporting requirements as part of the RBCM 6 pilot. This involved creating and managing the EUC to produce monthly reporting until the pilot could be transitioned into a managed reporting solution. Dom was diligent in researching and addressing EUC-related obligations to ensure compliance with Citi's policies as well as testing the EUC for accuracy.

goals include:

- Provided support in early identification of risk of CSI in Systems of Record and led discussions with stakeholders (e.g., Legal) to determine options to address (e.g., confidentiality flag vs attestation).
- Developed my team by holding regular cadence to provide feedback and lessons learned (1:1s, team huddles, post-mortems)
- Identified creative solutions to enable adoption of reporting requirements through overseeing creation, launch and complaint management of the Standardized Reporting EUC

Additional Manager Evaluation

Evaluated by:

Financial Performance Rating

Manager Evaluation

Rating:

3-Valued Contributor

Response: Dom has widely encouraged and championed efficiency enablers within his team and across the broader team. This has supported a more collaborative and efficient environment when executing against regulatory commitments.

Dom should ensure he continues to be thorough in his notes and escalates potential concerns early. This will reduce rework for both himself and his team as well as increase the efficiency of meetings. It will further support clear accountability of task ownership and expected timing to allow for easier identification of necessary escalations or follow-ups.

Employee Evaluation

Rating:

2-Exceeds Expectations

Response:

Examples of how I've met financial performance goals include:

- Improved team efficiency by leading Introduction to Hot Keys workshop and creation of templates
- Simplified workload for Enterprise Tools & Reporting team (ETR) through oversight of revisions to Unmapped MRA BRD requirements
- Supported team members through ideation/creation of working group slides / supporting materials (e.g., Roles & Responsibilities, MRA Lifecycle Overlay)
- Provided support on recruiting efforts for immediate and adjacent teams (e.g., MRA Oversight Function, ORM)
- Drove adoption of new, approved technologies, serving as a model for other teams across the organization (e.g., IQA use of MS Team for Working Groups)

Additional Manager Evaluation

Evaluated by:

Client & Franchise Outcomes Rating

Manager Evaluation

Rating:	3-Valued Contributor
Response:	Dom delivered on time for each of his assigned deliverables. He also recently began to assist the broader team with a particularly challenging deliverable. He is thoughtful in his approach and appropriately looks for connections to better deliver against Citi's objectives to simplify as part of Transformation. In addition to the centralized EUC reporting example, Dom identified an opportunity to leverage a recently established function for quality assurance that could apply to Unmapped MRAs. This required Dom to work closely with the other stakeholders to confirm the importance of slightly expanding their criteria for their in-scope population. This is a great example of the way Dom thinks of the end-user and overall organization first when solutioning.

Employee Evaluation

Rating:	2-Exceeds Expectations
Response:	<p>Examples of how I've met client and franchise outcome goals include:</p> <ul style="list-style-type: none"> • Mitigated risk through timely completion and business closure of assigned RBCMs/Deliverables (RBCM 6, Deliverables 6.2, 13.1, 13.3 - expected 12/13/23) • Achieved passing scores (>90%) to meet Health Check, Spot Check and PQA goals • Demonstrates and advocates for Citi's New Way (i.e., Changemaker Habits) • Supports Citi's presence in the local community through active participation in firm events and volunteer initiatives (e.g., NY Cares)

Additional Manager Evaluation

Evaluated by:

Year-End Evaluation Ratings

Overall WHAT Rating

Manager Evaluation

Rating:	3-Valued Contributor
---------	-----------------------------

Employee Evaluation

Rating:	2-Exceeds Expectations
---------	-------------------------------

Overall HOW Rating

Manager Evaluation

Rating:	3-Valued Contributor
---------	-----------------------------

Employee Evaluation

Rating:	2-Exceeds Expectations
---------	-------------------------------