

# 2015 Individual Contributor Performance Review for Zhiyi Zhang



## Team Member Information

First Name: Zhiyi  
Last Name: Zhang  
Job Title: CCAR Sr. Analyst  
TM ID: 640346  
Supervisor: Matthew S Burns  
Company: Santander Bank, N.A.

## Important Information Regarding Functional Manager

If this review is being completed on a team member that has a US Functional (dotted line) Manager, the Hierarchical (Direct) Manager must ensure that the Performance Assessment being completed takes into consideration the feedback from the Functional Manager.

The Hierarchical Manager must complete the Hierarchical Manager Certification section at the bottom of this form to certify the feedback was obtained.

## Performance Objectives

In this section, each objective is evaluated for performance during the year-end review and is reflected in the overall performance score. There should be a minimum of 4 objectives established including the relative weight and the results expected.

## 1.1

**Objectives**

Objective Name:	Description:	Weight:	Start Date:	Due Date:	% Complete:	Status:
Employees: Transform our culture: Simple, Personal, and Fair	<p>1. Operate as a team with a common purpose (win and lose as a team): be proactive, holistic, synergistic, collaborative, and supportive of others, communicate well and transparently, be open minded</p> <p>2. Be an effective change agent: obtain stakeholder buy-in/commitment, be creative and solution oriented (vs. problem oriented), set stakeholder and team expectations and deliver on commitments, measure/monitor/report on performance</p> <p>3. Be passionate and have a sense of humor/fun</p>	30.0%	01/01/2015	12/31/2015	0.0%	Not Started

**Milestones:****Rating by Matthew S Burns:****Manager Rating:** unrated**Managers Comments:***No comments***Rating by Zhiyi Zhang:****Rating:** Exceeds**Subjects Comments:**

-Objectives:

Work as a team and be an effective change agent

-Assessment:

I promote collaboration by involving different stakeholders in plan development/adjustment and by incorporating their perspectives. I encourage discussion and consensus when necessary.

I also demonstrate personal energy and a positive attitude that impacts others; acknowledges others' contributions and shows confidence in their abilities.

Finally, I'm a good listener and always listen carefully to others before expressing my own ideas.

## 1.2

**Objectives**

Objective Name:	Description:	Weight:	Start Date:	Due Date:	% Complete:	Status:
Customer: Promote Operational Excellence	<p>1. CART Program - deliver on time, on budget, with high quality; re-calibrate prior to missed milestones; understand the impact on any missed deliverables/re-calibration on the program and the organization;</p> <p>2. Key CART deliverables through year end are as follows:            ---Finalize SHUSA Governance &amp; Oversight Framework (Risk Transformation)            ---Finalize SHUSA, SBNA, and SCUSA Risk Appetite Statements (Risk Transformation)            ---Design and implement Operating Model across Risk types aligned with principles of 3 LOD (Risk Transformation)            ---Design and execute the Material Risk Program across SHUSA (leveraging existing data and technology) (Risk</p>	40.0%	01/01/2015	12/31/2015	0.0%	Not Started

Transformation)

3. Risk Transformation PMO deliverables through year-end:  
---Drive execution across assigned sub-workstream; managing milestones and deliverables to successful completion. Own status and change control documentation for assigned sub-workstream  
---Implement the CART program framework to facilitate the management of scope, risks, issues, delivery schedules, and quality  
---Development and management of detailed project plans for Risk Transformation  
---Develop subject matter knowledge at a level to effectively manage, review and challenge Risk Transformation plan content and perform quality control processes  
---Be an effective partner to the execution teams and owners that provides valuable support and facilitates progress  
---Maintain current knowledge of Risk Transformation regulatory commitments and associated impact on the Risk Transformation workstream  
---Define and manage process to incorporate Internal Audit findings and ongoing feedback into the Risk Transformation workstream  
---Maintain sufficient awareness of overall CART program efforts to be successful in identifying and managing risks, cross-workstream impacts, etc.  
---Build foundational program management elements within CART that can be incorporated into the enterprise program/project management framework

**Milestones:**

**Rating by Matthew S Burns:**

**Manager Rating:** unrated

**Managers Comments:**

*No comments*

**Rating by Zhiyi Zhang:**

**Rating:** Exceeds

**Subjects Comments:**

-Objectives:

Deliver and execute plan in a timely and thoroughly manner

-Assessment:

I own and drive execution across Material Risk Program(MRP) and Gov. & Org. plan. I'm curious intellectually to acquire subject matter expertise and demonstrate a high degree of energy and ownership, putting in persistent effort and initiating timely action that drives efforts to successful plan development and execution. I meet due time of my weekly tasks all the time.

-Primary deliverable(s):

1. RT\_Risk ID plan

2. RT\_Gov and Org plan

3. RAID Log

4. Other (e.g. Artifact Repository, MRP Quality Check Draft and etc.)

**Objectives**

<b>Objective Name:</b>	<b>Description:</b>	<b>Weight:</b>	<b>Start Date:</b>	<b>Due Date:</b>	<b>% Complete:</b>	<b>Status:</b>
Shareholders: Improve Capital strength and risk management	<p>1. Proactively review external and internal environment; identify and raise issues related to gaps in existing processes, procedures, frameworks, etc.</p> <p>2. Contributes to satisfactory results from audits (internal/external); responds to corrective actions in a timely and complete manner</p> <p>3. Completes all assigned training within set timeframes and takes appropriate actions to ensure assigned team meets requirements</p> <p>4. Adheres to all organizational policies and procedures applicable in your role</p> <p>5. Actively promotes a culture of risk management by encouraging team to embrace appropriate risk practices and supports the team members in fulfilling their risk management responsibilities</p> <p>6. CART Program - effectively manage and minimize execution and implementation risks within the program - including dependencies and downstream impacts for individual workstreams and for the overall program</p> <p>7. CART Program - support and deliver on program PMO reporting, governance, and "infrastructure" requests/requirements in a timely and accurate manner, e.g., RAID logs</p>	30.0%	01/01/2015	12/31/2015	0.0%	Not Started

**Milestones:****Rating by Matthew S Burns:****Manager Rating:** unrated**Managers Comments:***No comments***Rating by Zhiyi Zhang:****Rating:** Exceeds**Subjects Comments:**

-Objectives:  
Risk management for individual and CART Program

-Assessment:  
Overall: I comply with company policies and complete all assigned training within set timeframes.

CART: I respond to audit requests and deliver on PMO reporting and requirements in a timely and accurate manner. Dependencies and downstream impacts for individual workstreams are effectively tracked in the plan and managed.

-Primary deliverable:  
1. RAID Log  
2. Implement routine Risk-Business reviews with standardized materials and reports for internal audit  
3. Dependency tracker in the plans

## 1.4

## Objectives

Objective Name:	Description:	Weight:	Start Date:	Due Date:	% Complete:	Status:
NA	NA	0.0%	01/01/2015	12/31/2015	0.0%	Not Started

## Milestones:

## Rating by Matthew S Burns:

Manager Rating: unrated

## Managers Comments:

No comments

## Rating by Zhiyi Zhang:

Rating: unrated

## Subjects Comments:

No comments

## 1.5

## Objectives

Objective Name:	Description:	Weight:	Start Date:	Due Date:	% Complete:	Status:
NA	NA	0.0%	01/01/2015	12/31/2015	0.0%	Not Started

## Milestones:

## Rating by Matthew S Burns:

Manager Rating: unrated

## Managers Comments:

No comments

## Rating by Zhiyi Zhang:

Rating: unrated

## Subjects Comments:

No comments

## Section Comments:

## Managers Comments:

No comments

## Subjects Comments:

No comments

## Skills/Competencies

This section defines core competencies that are essential to the achievement of the Bank's business objectives. The assessment of skills/competencies is aimed at measuring how results are obtained, in accordance with the key skills/competencies.

	Rating by Zhiyi Zhang	Official Rating
<b>Focused on Clients</b>		
Calculated Rating: unrated		
Adjusts the planning to ensure the client always comes first.	Always	unrated
Ensures he/she is aware of the aspects of the service that have an impact on client satisfaction.	Always	unrated
Knows the requirements of his/her clients and is able to exceed their expectations.	Always	unrated
Rapidly responds with adequate solutions to the clients requirements.	Always	unrated
Seeks a balance between short-term actions and long-term relationships.	Always	unrated
Transforms change into opportunities for gaining an advance on competitors.	Always	unrated
<b>Oriented Towards Results</b>		
Calculated Rating: unrated		
Carries out new tasks with minimum training and supervision.	Always	unrated
Fulfills the agreed undertakings and delivery deadlines with a high level of self-imposed urgency.	Always	unrated
Is able to deal with many activities at the same time.	Always	unrated
Monitors the objectives in order to ensure they are met, promptly corrects any problems.	Always	unrated
Performs good quality work.	Always	unrated
Willing to take on new responsibilities without being asked.	Always	unrated
<b>Teamwork</b>		
Calculated Rating: unrated		

Actively promotes the exchange of ideas, knowledge, experience and information with other members of the Group.	Always	unrated
Always places the interests and success of the Group before his/her own interests or success.	Always	unrated
Always supports the decisions of his/her team and organization, once the way to proceed has been determined.	Always	unrated
Clearly expresses his/her opinion, though respecting that of others, and always provides constructive criticism.	Always	unrated
Facilitates conflict resolution between the members of his/her team.	Always	unrated
Is tolerant of the ideas, values and opinions of others.	Always	unrated
Seeks to participate in ambitious and challenging projects, including outside of his/her team.	Always	unrated

#### Technical Skills

**Calculated Rating:**unrated

Able to complete work with accuracy and precision and manages time effectively for maximum efficiency.	Always	unrated
Adapts the procedure and practices to new situations.	Always	unrated
Compliance - Demonstrates full understanding of and adherence to laws, regulations and bank policies that pertain to his/her position and business unit, including Anti-money laundering and Fair Lending requirements. Exemplifies by action the Bank's commitment to compliance with applicable laws and regulations. Has completed all requisite compliance training programs, as well as the annual code of conduct and ethics and handbook acknowledgements.	Always	unrated
Ensures he/she updates his/her knowledge in order to improve efficiency.	Always	unrated
Has the knowledge and skills required to carry out the job.	Always	unrated
Is capable of rapidly learning new techniques and working methods.	Always	unrated

Section Comments:

#### Managers Comments:

*No comments*

#### Subjects Comments:

Core competencies that are essential to the achievement of the Bank's business objectives are met all the time.

-Focused on Clients:

I address customer needs and ensure that issues are resolved and I also incorporate feedback to make improvements that enhance the level of service provided.

-Oriented Towards Results:

I pursue objectives, demonstrating commitment to achieving meaningful results in a timely manner.

-Teamwork:

I involve others as appropriate and seek to understand their perspectives. I support team members' work when they are on annual leave. I also share information and help to resolve conflicting views.

-Technical Skills:

I'm a quick learner and have acquired sufficient knowledge and skills (e.g. MS Project and Server) required to carry out the time sensitive job.

### Strengths

In this section, the manager should identify and document at least two of the team member's key strengths from the Skills/Competencies section.

#### Strengths

Section Comments:

#### Managers Comments:

*No comments*

#### Subjects Comments:

-Rapidly responds with adequate solutions to the clients requirements.

-Fulfills the agreed undertakings and delivery deadlines with a high level of self-imposed urgency.

-Is capable of rapidly learning new techniques and working methods.

-Willing to take on new responsibilities without being asked.

## Areas for Improvements

In this section, the manager should identify and document at least two of the team member's Areas for Improvements from the Competencies section.

### Improvements

Section Comments:

#### Managers Comments:

*No comments*

#### Subjects Comments:

-Enhance the ability to provide constructive criticism.  
-Continue to enhance subject matter expertise in execution phase.

## Career Development Actions

In this section, the manager should establish career development actions based on the Strengths and Areas for Improvements identified. Select the Action(s) from the list below and provide details in the comments section (required). These should also be updated within the Team Member's Development Plan in SuccessFactors.

### Career Development Actions

- ☐ Competency Based Training (Softskills)
- ☐ Functional/Technical Role Specific Training
- ☐ Increase Visibility and Exposure within Organization
- ☐ On the Job Coaching by Manager
- ☐ Projects and Activities Beyond Scope of Current Role

Section Comments:

#### Managers Comments:

*No comments*

#### Subjects Comments:

*No comments*

## Overall Assessment Summary

The overall performance rating will be put in context with the rest of the group. This is the rating that will be used to make merit and/or bonus recommendations at the end of the year.

Please note that performance against relevant risk goals are assessed for all team members by their manager and is factored into the overall annual performance rating.

	Rating	Weights
Performance Objectives	<b>unrated</b>	
Employees: Transform our culture: Simple, Personal, and Fair	unrated	30.0%
Customer: Promote Operational Excellence	unrated	40.0%
Shareholders: Improve Capital strength and risk management	unrated	30.0%
NA	unrated	0.0%
NA	unrated	0.0%
Skills/Competencies		
Focused on Clients	unrated	
Oriented Towards Results	unrated	
Teamwork	unrated	
Technical Skills	unrated	

## Professional Interests

So the manager can understand and help you manage your career, the team member may indicate his/her business area/functional change and/or geographical mobility interests .

### Business Area

### Department

### Change of Function

### Additional Responsibilities

### Geographical

- ☐ US/Puerto Rico

☐ International

**Region**

**Country**

Section Comments:

**Managers Comments:**

*No comments*

**Subjects Comments:***No comments*

### Signature Section

The team member's signature does not imply agreement with the review, but confirms that the completed review was received and discussed. This document is being placed in your personnel record.

Employee: \_\_\_\_\_

Zhiyi Zhang

Manager: \_\_\_\_\_

Matthew S Burns

Section Comments:

**Managers Comments:**

*No comments*

**Subjects Comments:***No comments*

### Hierarchical Manager Certification

This section should be completed by the Hierarchical (Direct) Manager only if the team member has a US Functional (dotted line) Manager. The Hierarchical (Direct) Manager completing this review must discuss the performance and ratings with the Functional (dotted line) Manager and take into consideration any feedback received when determining the overall rating and comments.

If applicable, the below certification must be completed by the Hierarchical Manager.

Hierarchical Manager Certification

☐ I certify that I have discussed this performance review with the Functional Manager and have taken into account his/her feedback into my overall rating and comments.

**Indicate the Functional Manager's Name below**