

3rd ANNUAL
CGOC SUMMIT 2007

From Planning to Practicing —
The New Frontier in Retention and Preservation

Sponsored by
CGOC **PSS**
THE COUNCIL SYSTEMS.

Project and Process Management 101

What Every Attorney Needs to Know

Rob Gerbrandt
TD Bank Financial Group

 **TD Bank Financial Group**

The Retention and Preservation Community

Biography

Rob Gerbrandt

Senior Project Manager, Legal Department, TD Bank Financial Group

Rob specializes in complex program and project management, and is leading a global, enterprise wide project aimed at providing TD Bank Financial Group with the capability to effectively mitigate and respond to both Regulatory and Litigation matters dealing with electronic discovery of e-messages. He has over 20 years experience leading regulatory, quality, technology, business process improvements, and other projects.

- *The duke of Wellington in one of his campaigns has just finished inspecting some new troops that had become part of his army. He was heard to mutter "I don't know if they will frighten the enemy, but by god - they frighten me!"*

- (And how do you feel about your processes and projects?)

Topics

- What's a Process?
- What's a Project?
- Success according to a Project Manager ...

Business Process

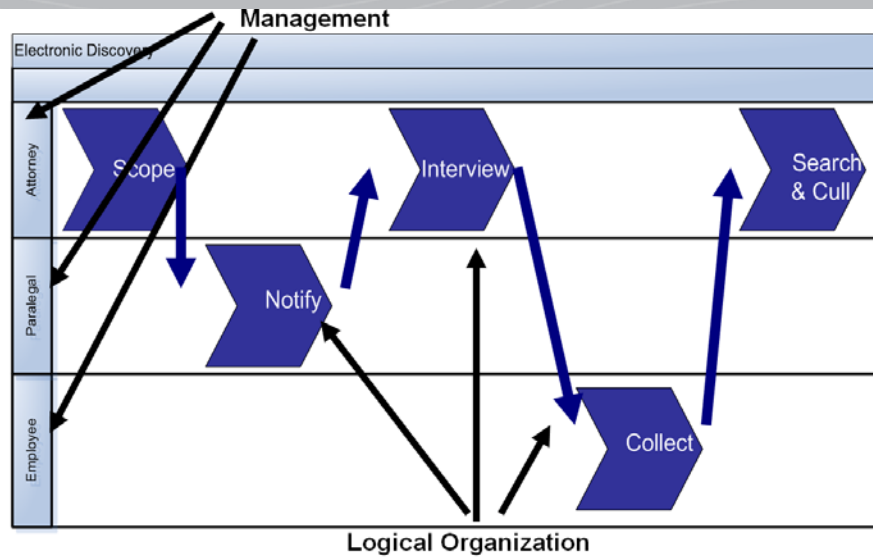
- *Any cross-functional process of critical importance, its management requiring a permanent structure. Such a process has a logical organization of people, material, energy, equipment, and procedures designed into work activities to produce a specified result.*

▪ (Juran 1990)

Process 101



Process 101 – Another View



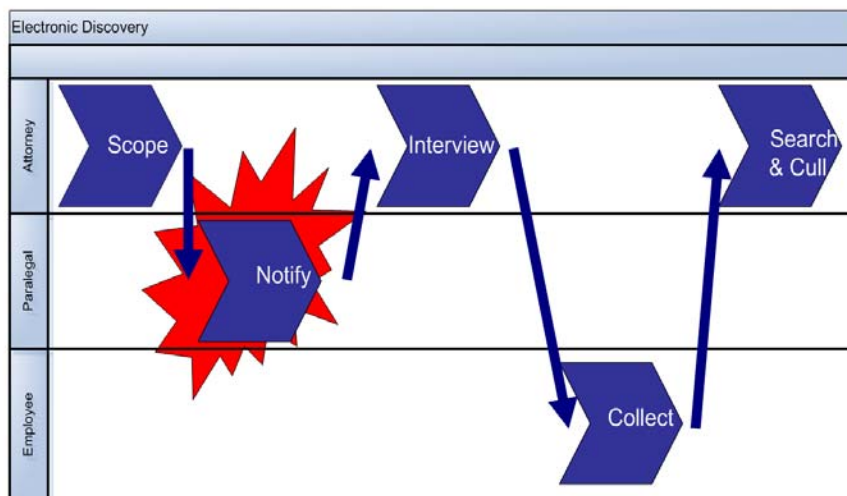
Process Challenges

- Who Owns?
- Who Manages?
- Who Assigns?
- Who Oversees?

Improving Processes

- Method?
 - Six Sigma
 - TQM
 - BPR
 - Lean Sigma
 - BPQM
 - ISO

Where's the Pain Point?



Got a Problem? Get a Project!

11

Project

- A temporary endeavor undertaken to create a unique product or service. A sequence of tasks with a beginning and an end. It is bound by time, cost, and scope.

- (PMI)

12

Project Stages



13

Initiation

- Define –
 - Why you are doing the project.
 - What's the Business Case or Value?
 - What you expect to gain by doing the project.
 - What will be different afterwards?
 - How the project is going to be conducted.
 - Internal group/External Consultant?
 - Who is going to participate in the project.
 - Governance and participation?

Results in – Project Charter

14

Sample Project Charter

Project Title: Information Technology (IT) Upgrade Project

Project Start Date: March 4, 2001

Projected Finish Date: December 4, 2002

Project Sponsor: Tim Jones, CIO, 357-2586, tim.jones@td.com

Project Manager: Rob Gerbrandt, 357-0292, rob.gerbrandt@td.com

Project Objectives: Upgrade hardware and software for all employees (approximately 2,000) within 9 months based on new corporate standards. See attached sheet describing the new standards. Upgrades may affect servers and midrange computers as well as network hardware and software. Budgeted \$1,000,000 for hardware and software costs and \$500,000 for labor costs.

Approach:

- Update the IT inventory database to determine upgrade needs
- Develop detailed cost estimate for project and report to CIO
- Issue a request for quotes to obtain hardware and software
- Use internal staff as much as possible to do the planning, analysis, and installation

Approval Signatures:

Name	Signature	Date Signed
Project Sponsor Name:		
Project Manager Name:		

Planning

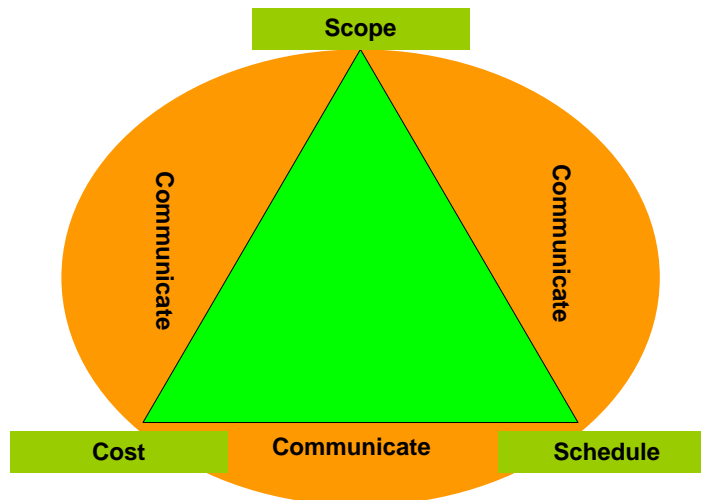
- Creates –
 - Scope Statement
 - Describes what is/is not to be delivered
 - Financial Plan
 - How much is the project going to cost?
 - Schedule
 - Describes when things are to be done
 - Resource Plan
 - Describes who is to be involved
 - Communications Plan
 - Describes the means by which stakeholders will be informed

Results in a Project Plan

Execution

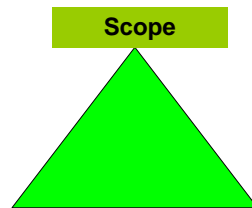
- Is when –
 - Work is performed
 - Deliverables are completed
 - Money is spent
 - Communication Occurs
- It's also when –
 - Projects go off track
 - Projects Fail

Controlling a Project



Managing Scope

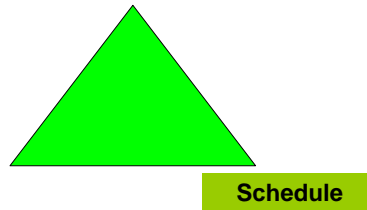
- Objective –
 - Prevent “scope creep” or “gold plating”
 - Control change
- Tools –
 - Project Charter
 - Formal Change Request Process



Sample Change Request – See Binder

Managing Schedules

- Objective –
 - Keep the project moving forward!
- Tools –
 - Task List
 - Milestone List
 - Project Software



Sample Schedule

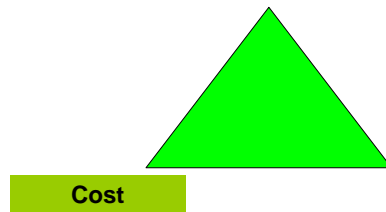
	Nov 03	Dec 03	Jan 04	Feb 04	Mar 04
Preparation and Planning					
Develop project proposal					
Approve project proposal		◆ 13,12			
Recruit project team					
Development and Test					
Specify detail requirements					
Develop prototype					

PROJECT CHANGE REQUEST

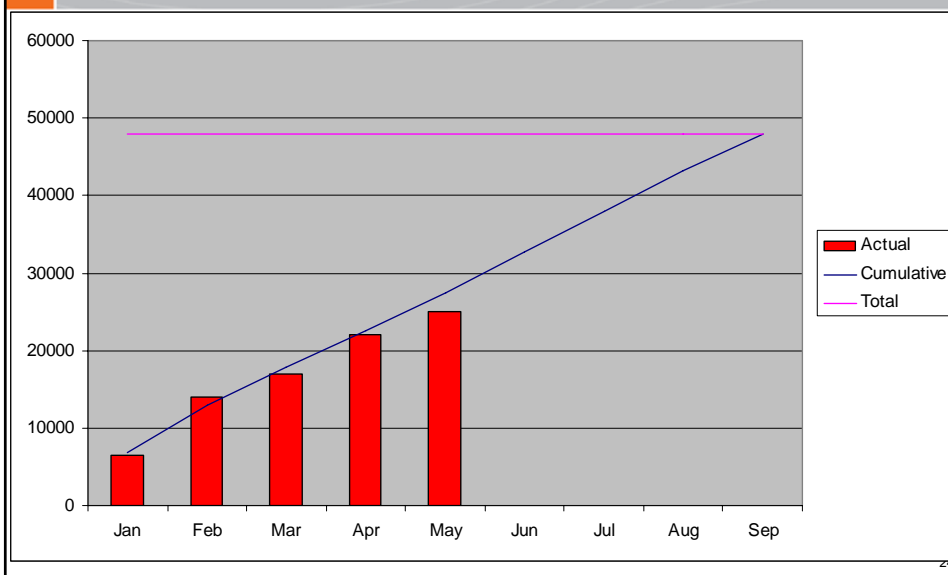
Program Name:		Change Control Number: _____		PRIORITY
Business Owner:		Date Requested: July 20, 2006		
Business Sponsor:		Tech Project Code (if applicable)		
Change Event				
Change Type <input type="checkbox"/> Scope <input type="checkbox"/> Schedule <input type="checkbox"/> Cost <input type="checkbox"/> Other (Specify)	Description of Change: 			PRIORITY
Approval / Rejection Required by: _____				
Project Manager Assessment of Impact				
Impact on: <input type="checkbox"/> Budget (greater than \$5,000 or 5 days) <input type="checkbox"/> Schedule <input type="checkbox"/> Risk <input type="checkbox"/> Scope <input type="checkbox"/> IT Resources <input type="checkbox"/> Other Projects <input type="checkbox"/> Other: <input type="checkbox"/> Attachments (as necessary to describe impacts)	Assessment Approval: Project Manager: _____ Date: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Business Sponsor: _____ Date: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Other Approver: _____ Date: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied			HIGH
Proposed Solution and Impact				
Detailed Description of Proposed Solution: 	Include in Description Impact on Project: <input type="checkbox"/> Effort: # of hours (+/-) impacted by proposed solution <input type="checkbox"/> Budget: impact on original project budget <input type="checkbox"/> Expenses: additional costs that cannot be absorbed within current budget <input type="checkbox"/> Schedule: change in any delivery date <input type="checkbox"/> Risk: impact on project risks <input type="checkbox"/> TDit: work months of IT effort <input type="checkbox"/> Other: impact on other projects; other impacts			MEDIUM
Approvals				
Project Manager: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Date: _____	Business Sponsor: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Date: _____			LOW
Comments: (rationale for approval/denial) Incorporated into Charter		Comments: (rationale for approval/denial)		
Technology Proj.Mgr.: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Date: _____	Technology Sponsor: _____ <input type="checkbox"/> Approved <input type="checkbox"/> Denied Date: _____			
Comments: (rationale for approval/denial)		Comments: (rationale for approval/denial)		

Managing Costs

- Objective –
 - Spend only what you are authorized to spend!
- Tools –
 - Timesheets
 - Spreadsheets

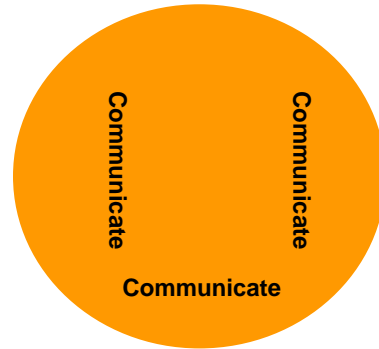


Sample Cost Charts



Communicate, Communicate, Communicate

- Objective –
 - Keep stakeholders, project team members and others aware of the progress
- Tools –
 - Status Reports
 - Progress Meetings
 - Sharepoint Websites



Sample Sharepoint Website

Home - e-Message Risk Management Project Team Site - Microsoft Internet Explorer provided by TD Bank Financial Group

Address: http://etsportal.tdbank.ca/sites/ediscoveryproject/default.aspx

Home Documents and Lists Create Site Settings Help Up to ETS Portal

e-Message Risk Management Project Team Site

Home Modify Shared Page

Documents

- Shared Documents
- Templates
- Status Reports
- Background Information
- Presentations

Pictures

- Contacts
- Tasks

Discussions

- General Discussion

Surveys

E-Messaging Risk

Project Status
As of: 14 January 2007

Green

Phase:
Execution

Legal Budget:
\$1,300,000

Spend to Date:
\$751,000

Tech Budget:
\$3,500,000

Spend to Date:
\$2,200,000

Upcoming

Announcements

Upcoming Team Event! new 1/16/2007 2:07 PM
 by Gerbrandt, Rob
 The E-Message Team will hold it's Ski Day on Feb 15th. Make sure you get your name in soon!

New Team Member! new 1/16/2007 2:06 PM
 by Gerbrandt, Rob
 Nancy Finlayson will be taking over from Steve Kiss as the ITS PM on the Project, effective Jan 12th.

[Add new announcement](#)

Team Calendar

January 2007						
Sun	Mon	Tue	Wed	Thur	Fri	Sat
31	1	2	3	4	5	6

Tools and Samples

- Available on CGOC Website –
 - PM Toolkit – a set of project templates, including status reports, change requests and tracking logs
 - www.cgocouncil.com
- See also –
 - www.pmi.org

27

Thanks!

- For additional information contact –

Rob Gerbrandt – rob.gerbrandt@td.com

28