# Synopsis: Case History – Surajchand Thakur (Assistant Vice President, Control & Oversight)

*Prepared for the Performance & Conduct Committee – evidence pack already lodged with HR*

## 1. Executive Summary

Surajchand Thakur, an AVP in the Control & Oversight (C&O) team, has shown a sustained decline in performance and multiple breaches of conduct since **November 2023**. Despite repeated accommodations (workload changes, extra training, personal leave, HR warning), material lapses in quality, availability, and behaviour persist. The matter is now before the Committee for a decision on next steps.

## 2. Employee Overview

| Item | Detail |
| --- | --- |
| **Name / Grade** | Surajchand Thakur – Assistant Vice President |
| **Tenure** | Second stint with Nomura; ~ 8 years in current stint (joined C&O in 2017) |
| **Primary Role** | Process owner / regional single-point-of-contact (SPOC) for control testing, MI, and stakeholder liaison |
| **Reporting Line** | Reports to *[Mgr. Name]*, who reports to the Function Lead (synopsis author) |

## 3. Chronology of Key Issues

| Date / Period | Issue or Incident | Immediate Consequence / Action Taken |
| --- | --- | --- |
| **Nov 2023** | First escalations from US region on missed deliverables and availability. | Employee cited personal issues; offered time-off but requested shadow/backup support. Backup assigned (Nov 2023 – Mar 2024). |
| **Apr 2024** | Region reports continued quality gaps and low responsiveness; backup forced to intervene. | Removed US duties; reassigned to AEJ & EMEA; full training provided. |
| **May–Sep 2024** | Inconsistent performance in new region; multiple errors; critical miss (Sep) impacting KPI. | Removed from error-prone process; shift changed to AEJ hours only; second training cycle started. |
| **Oct 2024** | Non-compliance with Return-to-Office (RTO) seating protocol. | Counseled; accepted discretionary leave to address personal issues. |
| **Nov 2024 – Feb 2025** | Post-leave, errors and misses persist despite refresher training. | Ongoing monitoring and informal coaching. |
| **18 Mar 2025** | Arrived highly inebriated; denied building entry per policy. | Escalated to senior management; formal HR warning issued. |
| **Apr 2025** | Short-lived improvement, then regression. | Continued quality tracking. |
| **May 2025** | Missed deliverables; unannounced absences; no handovers. | HR-attended meeting; asked for remedial plan—responses unsatisfactory. |
| **23 Jun – 4 Jul 2025 (approved)** | Final 10-day leave granted to resolve personal matters; strict handover/RTO conditions set. |  |
| **20 Jun 2025** | Absent without notice; tasks undone; sat away from team area; incomplete shift logs. | Management e-mail; face-to-face meeting set for **9 Jul 2025** to discuss future. |

## 4. Actions & Support Provided

* Backup resource allocation (Nov 2023 – Mar 2024)
* Role realignment & two formal retraining programmes (Apr 2024; Dec 2024)
* Flexible scheduling & shift adjustment
* Two discretionary personal-leave periods (Oct 2024; Jun–Jul 2025)
* HR-issued written warning (22 Mar 2025)
* Regular coaching, counselling, and documented check-ins

## 5. Current Status & Impact

| Aspect | Summary |
| --- | --- |
| **Performance** | Persistently below benchmark; repeated errors; one KPI breach logged (Sep 2024). |
| **Conduct** | Policy violations: intoxication on duty, RTO non-compliance, unnotified absences. |
| **Stakeholder Confidence** | US region reassigned; AEJ stakeholders rely heavily on backup staff. |
| **Team Morale / Workload** | Peers covering tasks, retraining, and rework; capacity diverted from value-add work. |
| **Risk Exposure** | Control breaks and reporting gaps elevate operational-risk profile. |
| **Next Milestone** | In-person review with Management & HR on **9 Jul 2025**; Committee outcome required. |

## 6. Supporting Evidence (separately submitted)

1. Escalation e-mails (US – Nov 2023, Apr 2024; AEJ – various).
2. Training completion records & assessment scores.
3. HR warning letter (22 Mar 2025).
4. RTO seat-audit logs (Jun 2025) & shift-time reports.
5. Attendance and leave approvals.

## 7. Considerations for the Committee *(no recommendation implied)*

* Multiple accommodations and repeat training yielded limited sustainable improvement.
* Documented policy breaches compound performance concerns.
* Persistent reliance on backup resources increases operational risk and affects team capacity.
* The **9 Jul 2025** meeting is positioned as a final review; clarity on acceptable performance/conduct thresholds and potential consequences will aid determination of next steps.

*Prepared by:* **[Your Name] – Function Lead, Control & Oversight**  
*Date:* **5 July 2025**