**GROUP HANDOVER PROCEDURE CHECKLIST**

Details or copies of the following, where applicable, should be provided to the incoming jobholder. You should indicate which of the following categories apply by deleting Y or N (below) as appropriate:-

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| **Area** | **Applicable** |
| 1. **Organisation -** Organisation structure(s), locally incorporated entities, special agreements, committee composition and minutes (for example, Global Business Management Group, Country Management Group, Country Operational Risk Committee), job description and objectives, delegated authorities, scorecards and supporting metrics pack | **(Y / N)** |
| 1. **Strategy and Business** - Strategy and business plan, competitor analysis, projects in progress, product programmes | **(Y / N)** |
| 1. **Financial Management -** Budgets and stretch targets, current performance and forecast for the year, individual business performance, bad debts, Management Group pack, cost centre reconciliation report . | **(Y / N)** |
| 1. **Customer and Franchise Management** - Executive sponsorships, customer meetings and key sensitive issues, branding, community projects, service quality initiatives, communication plan | **(Y / N)** |
| 1. **Corporate Governance** - Government relations plan, regulator relations, material legal disputes, outstanding regulatory or government issues, governance issues (for example, KYC and AML), internal, external and regulatory audit reports together with action plans, BCP, DR and Crisis Management Plan | **(Y / N)** |
| 1. **Risk** - Outstanding risk issues (credit, market, operational, reputational, regulatory, other) and implications with proposed action plan and responsibility; CORC, BCP and DR plans and telephone cascade For operational risk areas, specifically include details of any Risk Control Owner responsibilities, highlighting relevant aspects of the process universe(particularly processes that are categorized as “High” risk), any PGC, CORC and/or Country Management Team discussions and any outstanding “Risk Acceptances”. | **(Y / N)** |
| 1. **Regulatory** - Details of any unresolved or possible breaches of regulatory requirements and any unresolved concerns expressed by the FCA, PRA or any other regulator. | **(Y / N)** |
| 1. **Staff and Talent Management -** Engagement survey results and action plans, succession plans for key positions, HIPOs and Critical Resources, management trainees, talent development initiatives, performance review and appraisals of direct reports, any staff commitments, union issues, any other important staff matters | **(Y / N)** |
| 1. **Tasks in Progress -** Status of progress, the location of relevant files and documents, proposed actions and responsibility | **(Y / N)** |
| 1. **Administration -**  Keys, confidential files or papers | **(Y / N)** |
| 1. **Other Significant Issues -**  Any items not covered above | **(Y / N)** |

It is important that the handover document is designed to be practical and helpful to the incoming jobholder, not just a record of issues. It should therefore include judgement and opinion of the outgoing jobholder, not just facts and figures. It should also include an assessment of what issues should be prioritised.