Capital and Risk Transformation (“CART”)

Deliverable Completion

Cover Sheet

| **Workstream** | **Sub-Workstream** | **Deliverable ID** | **Name** |
| --- | --- | --- | --- |
| Risk Transformation | Risk Appetite Statement | RT.A.1 | **Develop SHUSA (top-level), SBNA, and SCUSA RAS, and obtain approvals** |

| **Supporting Materials** | | |
| --- | --- | --- |
| **Document Name** | **Document Description** | **Document Link** |
| 150911 1700 SCUSA ​ |  | [Link](http://provisioning.sov.gs.corp/sites/CART/RT/Deliverables/RAS/RT.A.1/150911%201700%20SCUSA%20RAS.pdf) |
| 20150805 1700 CRO check-in v2 |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\20150805%201700%20CRO%20check-in%20v2.pdf) |
| 20150915 RAS Board deck for SHUSA  ​ |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\20150915%20RAS%20Board%20deck%20for%20SHUSA.pdf) |
| 20150925 SBNA RAS  ​ |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\20150925%20SBNA%20RAS.PDF) |
| 20151022 1900 RAS supporting materials pack-DRAFT |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\20151022%201900%20RAS%20supporting%20materials%20pack-DRAFT.pdf) |
| CART IA Request List - RAS\_RP (5) |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\CART%20IA%20Request%20List%20-%20RAS_RP%20(5).xlsx) |
| RAS BOARD information pack appendix\_OW V1\_20\_07\_2015 |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\RAS%20BOARD%20information%20pack%20appendix_OW%20V1_20_07_2015.pdf) |
| RAS BOARD information pack\_OW V1\_20\_07\_2015  ​ |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\RAS%20BOARD%20information%20pack_OW%20V1_20_07_2015.pdf) |
| SCUSA Risk Appetite Statement FINAL APPROVED 10-26-2015  ​ |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\SCUSA%20Risk%20Appetite%20Statement%20FINAL%20APPROVED%2010-26-2015.pdf) |
| SHUSA RAS Monthly Report\_July2015 |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\SHUSA%20RAS%20Monthly%20Report_July2015.pptx) |
| SHUSA Risk Appetite Statement\_Approved by Board Sept\_25\_2015 |  | [Link](file:///\\provisioning.sov.gs.corp\DavWWWRoot\sites\CART\RT\Deliverables\RAS\RT.A.1\SHUSA%20Risk%20Appetite%20Statement_Approved%20by%20Board%20Sept_25_2015.pdf) |
| Executive Sign-Off |  | [Link](http://provisioning.sov.gs.corp/sites/CART/RT/Deliverables/RAS/RT.A.1/Matt%20Burns_Accountable%20Executive%20Signoff_%20CART%20Risk%20Transformation.pdf) |

| **First Line of Defense** | | |
| --- | --- | --- |
| **Accountable Executive** | **Approval Date** | **Notes** |
| Matt Burns | 26-Jan-16 | Accountable Executive Sign-off acknowledges the completion of the deliverable based on work efforts of his predecessor. |

| **Second Line of Defense (CART Program Management Office)** | | |
| --- | --- | --- |
| **Applicable?** | **Approval Date** | **Notes** |
| Is the Second Line of Defense applicable? | Click here to enter the Approval Date. | Click here to enter notes. |

| **Internal Audit** |  |  |
| --- | --- | --- |
| **Applicable?** | **Approval Date** | **Notes** |
| Is Internal Audit applicable? | Click here to enter the Approval Date. | Click here to enter notes. |