

Helping you get

**CREDIT  
READY**



**Step-by-step guide:**

## 6. Systems & Controls

Helping you complete your online application





## Step-by-step guide:

### 6. Systems & Controls

This guide is designed to help you complete the Systems & Controls section of your application.  
If you've collated everything you need from the checklist, it should be as simple as possible.

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#### What you will need for this section:

- ☐ Details of your firm's IT systems
- ☐ Details of your firm's Disaster Recovery Plan

## IT systems:

Does your firm use only off-the-shelf computer products?

If so, you will need to give details.

### IT Systems

Will the Applicant be using only commercial off the shelf computer products/packages e.g. Word, Sage accounting software, Lotus Notes

"Yes" indicates that the Applicant will use only off-the-shelf computer products/packages. "No" indicates the Applicant will use at least one IT system that was tailor-made.

☐ No

### Commercial Off-The-Shelf Computer Products / Packages

Give the names of the packages below:-

System Type	System Name	Operational date	
Business Transaction Recording System		[ 06/05/2015 ]	<small>if the Applicant already using these systems</small> Remove Package
--None-- Business Transaction Recording System ✓ Accounting System Other IT Systems (e.g. Word, Excel)		[ 06/05/2015 ]	<small>if the Applicant already using these systems</small> Remove Package
Other IT Systems (e.g. Word, Excel)		[ 06/05/2015 ]	<small>if the Applicant already using these systems</small> Remove Package

Add Packages

Please provide the details of any tailor-made (BESPOKE) IT systems that will be used by the Applicant:

Bespoke Systems Description
NA

Use this button here for adding to the list.

If your firm uses tailor-made or bespoke IT systems, then your answer will be '**NO**', and you will need to give a brief description in this box.

## Business Continuity and Disaster Recovery:

The purpose of this part is to establish that your firm has plans in place to meet its obligations after unforeseen events – such as failure of systems or loss of information.

Your firm should have a Disaster Recovery Plan. The FCA does not need to see it, you just need to confirm that it exists in the form of the documents listed here. All you have to do is check that these documents are up to date, then click these boxes. And if you need to know more about what the documents should contain, click the help icon.

Please provide the details of any tailor-made (BESPOKE) IT systems that will be used by the Applicant:

Bespoke Systems Description
NA

### Business Continuity and Disaster Recovery

Please tick this box to confirm that the document is created and ready for the FCA/PRA to inspect.  
*The Disaster Recovery Plan ensures that the applicant firm is able to function and meet its regulatory obligations in the event of an unforeseen interruption. These arrangements should be regularly updated and tested to ensure their effectiveness. Examples of business interruption might include, loss or failure of internal or external resources such as people, systems or other assets, loss or corruption of information and external events such as vandalism or adverse weather. For more information refer to the Guidance Notes.*

☐ Full business continuity procedures (BCP)

☐ Any agreements or terms of reference agreed with any third party providing compliance or other services to the Applicant

☐ Any outsourcing arrangements for disaster recovery

## Regulatory Returns:

All regulated firms have to supply these returns. And the online tool you use to submit them is called **GABRIEL**. If you need to know more about **GABRIEL** just click the help button.

Just tick these boxes to confirm that you acknowledge the requirement to use **GABRIEL**.

The tick boxes are to confirm that firms will submit returns once authorised via **GABRIEL**, and that you have the means to do so.

You will receive information on how to register on **GABRIEL** if you are successfully authorised for Consumer Credit activities.

### Regulatory Returns- Gathering Better Regulatory Information Electronically (GABRIEL)

All regulated firms have to supply regular regulatory returns.

GABRIEL is the mandatory reporting tool that you must use when completing and submitting the majority of these regulatory returns.

To complete your returns you must have access to a personal computer with an internet connection.



Please tick this box  
GABRIEL.



Please tick this box  
information that can be used to help supervise and assess the firm on an ongoing basis as specified in the Handbook



Please tick this box to confirm that the Applicant agrees to submit this information using GABRIEL in a timely manner

#### Help

GABRIEL is the mandatory reporting tool that firms must use when completing and submitting the majority of these regulatory returns

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at regular and stated intervals, financial

There are guides for different sections of the application.  
So if you'd like further help please visit our [website](#).