

## **Transcript for DBAAT video**

### **Completing the summary tab**

#### **Screen 1**

DBAAT training

Completing the summary tab

#### **Screen 2**

This video provides an overview of the summary tab of the assessment tool, including its purpose and how to complete it.

#### **Screen 3**

The summary tab summarises your conclusions on the firm's compliance with the regulatory requirements, including all the assessment ratings and the rationale for those ratings.

#### **Screen 4**

The content in the summary tab forms the basis any file specific feedback for the firm.

The summary results are automatically completed by the tool.

The contents of the results mirrors the content of the results in the earlier tabs. Any changes to these results must be made on the earlier tabs.

#### **Screen 5**

Where there have been two reviews, the results are pulled from the assessment made at the Quality Assurance stage.

Other than checking that these results are as expected, you do not need to take any further action on this section.

#### **Screen 6**

Further down the tab there are several free text boxes.

#### **Screen 7**

You should complete the first box, 'Case summary', with a high-level summary of the case, including the relevant client circumstances and objectives, the advice given and the rationale for the advice. This provides context to any feedback provided.

#### **Screen 8**

The following free text boxes all relate to the assessments made earlier in the assessment tool. You should explain, with reference to evidence, why you rated each section as you have.



There is further information on the summary tab in section 7 of the instructions.

**Screen 9**

FCA

Financial Conduct Authority