

Chapter 15A

Operational resilience

15A.6 Self-assessment and lessons learned exercise documentation

15A.6.1 **R** A *firm* must make, and keep up to date, a written record of its assessment of its compliance with the requirements in this chapter, including, but not limited to, a written record of:

- (1) *important business services* identified by the *firm* and the justification for the determination made;
- (2) the *firm's impact tolerances* and the justification for the level at which they have been set by the *firm*;
- (3) the *firm's* approach to mapping under ■ SYSC 15A.4.1R, including how the *firm* has used mapping to:
 - (a) identify the people, processes, technology, facilities and information necessary to deliver each of its *important business services*;
 - (b) identify vulnerabilities; and
 - (c) support scenario testing;
- (4) the *firm's* testing plan and a justification for the plan adopted;
- (5) details of the scenario testing carried out as part of its obligations under ■ SYSC 15A.5, including a description and justification of the assumptions made in relation to scenario design and any identified risks to the *firm's* ability to meet its *impact tolerances*;
- (6) any lessons learned exercise conducted under ■ SYSC 15A.5.8R;
- (7) an identification of the vulnerabilities that threaten the *firm's* ability to deliver its *important business services* within the *impact tolerances* set, including the actions taken or planned and justifications for their completion time;
- (8) its communication strategy under ■ SYSC 15A.8.1R and an explanation of how it will enable it to reduce the anticipated harm caused by operational disruptions; and
- (9) the methodologies used to undertake the above activities.

15A.6.2 **R** A *firm* must retain each version of the records referred to in ■ SYSC 15A.6.1R for at least 6 years and, on request, provide these to the FCA.