Operational Resilience UK
By CyPro

THE WORKING TEMPLATE

Operational Resilience Self-Assessment Template

The structure a SYSC 15A self-assessment is expected to carry, with prompts for what each section must evidence. Complete the [bracketed] fields, keep it current and put it in front of the board.

How to use this template: the eight sections below are the working skeleton of the document the FCA expects to be able to request. Prompts describe what supervisors look for; the 2026 observations made clear that a self-assessment frozen since March 2025 reads as a finding in itself. Board approval belongs on the record, not in an email thread.

FIRM	[Legal entity name and FRN]
VERSION AND DATE	[Version, date of this revision]
APPROVED BY	[Board / committee, meeting date]
NEXT REVIEW	[Date, at most 12 months out, or on material change]

1 Scope and approach

State which entities and business lines the document covers, the methodology used to identify important business services, and who owns the assessment. Prompt: a reader should finish this section knowing exactly what is inside and outside scope, and why.

2 Important business services register

List each IBS with its owner, the harm caused if disrupted (to clients, market integrity, or safety and soundness for dual-regulated firms) and the reasoning that qualified it. Prompt: services are what clients experience, not the systems that deliver them; a register full of applications is the classic miss.

3 Impact tolerances

State the tolerance for each IBS: the maximum tolerable disruption expressed as time plus any further measures that capture real harm (value, volume, customers affected). Record the board's rationale. Prompt: tolerances set at current recovery capability rather than at the point of intolerable harm were called out in the 2026 observations.

4 Mapping

Summarise the people, processes, technology, facilities and third parties each IBS depends on, at the depth needed to identify vulnerabilities. Include the third parties behind your third parties where they matter. Prompt: mapping that stops at the contract boundary is the most repeated supervisory criticism.

5 Scenario testing

Record the severe-but-plausible scenarios tested, when, who took part, whether the firm stayed within tolerance, and what broke. Prompt: a test the firm passed comfortably was probably not severe enough; say what was learned, not just what was run.

6 Vulnerabilities and remediation

List the vulnerabilities the mapping and testing surfaced, each with an owner, a remediation action and a date. Prompt: recovery claims without evidence behind them featured in the 2026 findings; every closed item should point at the proof.

7 Lessons learned and programme changes

Record what the last review cycle changed: tolerances revised, services added or retired, tests redesigned, incidents that taught something. Prompt: this section is what makes the document look alive to a supervisor.

8 Board engagement and approval

Record the discussion, challenge and approval: which committee, which meeting, what was questioned. Prompt: approval evidenced by minutes reads very differently from a signature block filled in after the fact.

Keeping it current

UPDATE THE SELF-ASSESSMENT WHEN
An important business service is added, changed or retired
A tolerance is revised or breached, in testing or in a live incident
Material third-party arrangements change, including any involving a designated Critical Third Party
Scenario testing or an incident surfaces a new vulnerability
Twelve months have passed since the last board approval

Completion checklist

DONE	CHECK	OWNER / DATE
	Every IBS carries a documented tolerance with board rationale	
	Mapping reaches material third parties, not just contracts	
	At least one genuinely severe scenario tested since the last approval	
	Every open vulnerability has an owner and a date	
	Board approval minuted, document version-controlled	
	Next review date in the diary	

Want a second pair of eyes before the board sees it?

The Self-Assessment Review is a fixed-fee desk review of this document and its evidence: a gap letter, finding by finding, and a board summary. The fee is published, so you already know it.

operationalresilienceuk.co.uk/pricing/