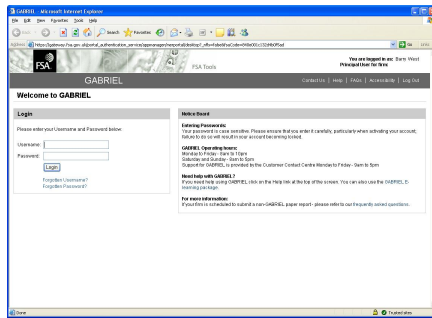


GABRIEL System – Data Management Functionality - QRG



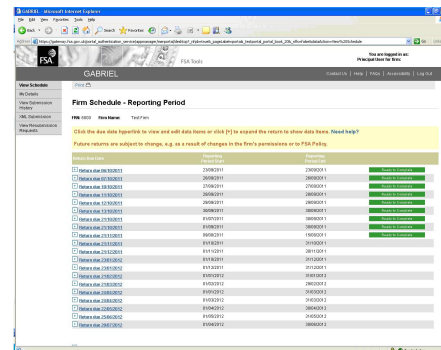
LOGGING ONTO GABRIEL

Enter your login details (i.e. your username and password) to log in to GABRIEL. For first time users these will have been provided in an email automatically generated by GABRIEL when you were set up on the system.



NOTE: After 3 failed attempts to login you will be locked out of GABRIEL for a period of time. An email will be sent to you advising of the period of time you must wait until you can attempt to login again. However, if you have forgotten your password, you must contact your Principal User (or in the case of the Principal User, the FSA's Customer Contact Centre) to have your account reset.

On successful login you will immediately see your firm's reporting schedule.



USERS WITH ACCESS TO MULTIPLE FIRMS

If you have access to more than one firm, the first page after login will contain a list of your firms. Click on the firm's name, this will take you to that firm's reporting schedule.

You can switch to another firm at anytime. Select the "Change Firm" menu option from the left hand menu bar to show the list of your firms again.

TERMINOLOGY

Data Item is the term used to describe one or more data elements (data entry fields) that are grouped together into a prescribed format – such as a balance sheet or an income statement.

Non-GABRIEL Paper (NGP) reports – is the term given to reports that firms need to submit to the FSA outside of GABRIEL. GABRIEL is used to remind you that the report is due and to confirm we have received it.

Returns contain a group of data items and NGP's that have the same Reporting Period Start, Reporting Period End and Submission Due Date.

Data Element refers to a single cell within a Data Item that can contain a monetary figure, number, yes/no etc.

FIRM'S REPORTING SCHEDULE

The reporting schedule shows the firm's reporting requirements (data items) for the next 14 months and highlights any returns that are "Ready to Complete" or "Overdue".

Ready to Complete - The day after the reporting period has ended, the status of the return will become Ready to Complete.

Overdue – The return will have a status of Overdue if any data item or NGP report within the return has not been submitted (or received and processed by the FSA) before the Submission Due Date.

VIEW SCHEDULE

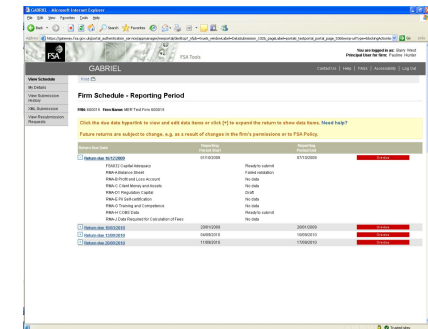
Expand/Collapse a Return - click on the "+" next to a return to view the data items and NGP's within the return.

Use the "-" to collapse the return and hide the data items and NGP's reports.

Expand All/Collapse All – Use the Expand All button to view the data items and NGP reports under all returns on the Reporting Schedule. The Collapse All button will hide all the data items and NPG reports.

SELECTING A RETURN TO COMPLETE

Click on the Return Due Date link to open the return. The section on Completing & Saving Data (online) gives instructions on how to complete each data item.



DATA ITEM: STATUS

The status of the data item determines what steps have been taken to complete the submission and what steps remain.

No data This is the status of all data items before any data has been entered and saved.

Draft The data item contains information which has been saved but not validated.

Failed validation The validation of the data entered has generated one or more data entry errors. To see the errors, open the data item and review the error messages located at the top of the page.

Waiting for cross validation The data item is linked to another data item and the data items need to be validated against each other.

Ready to submit The data entered has been successfully validated and can now be submitted.

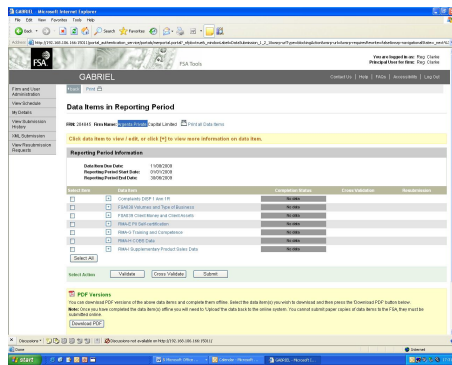
Submitted The data has been validated and submitted to the FSA and cannot be amended without the FSA's permission.

FSA Received The NGP report has been received and processed by the FSA.

COMPLETING AND SAVING DATA (ONLINE)

A user can enter data online if they have the appropriate permission – that is, Editor rights.

Click the Return Due Date link from the Reporting Schedule (the return must have a status of Ready to Complete or Overdue). GABRIEL displays a list of all the Data Items (e.g. RMA-A Balance Sheet) and NGP Reports (e.g. NGP001 Close Links Notification).



Click the name of the data item (e.g. RMA-A Balance Sheet) to open it. You can now key data into the appropriate cells (data elements).

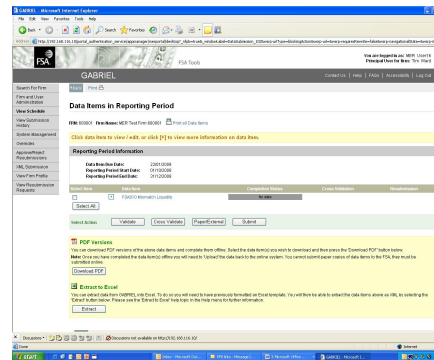
Click 'Save as draft' at the foot of the page to save a partially or fully completed data item. The status of the data item will change from No Data to Draft.

NGP Reports – These reports are submitted outside of GABRIEL by sending to the FSA. There is no link in GABRIEL. The role of GABRIEL is to make you aware when these reports are due and the period they cover. When the FSA receives the NGP report, GABRIEL will be updated by the FSA. The status of the NGP report will change from No Data to FSA Received.

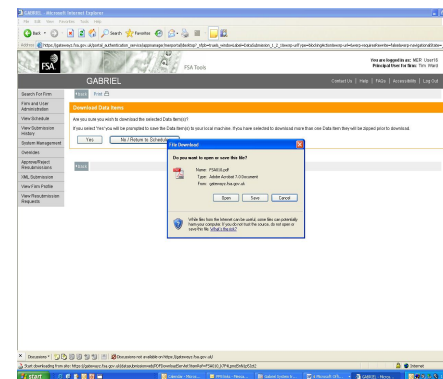
COMPLETING AND SAVING DATA (OFFLINE)

You will need Adobe version 7.0.5 or higher to use the GABRIEL offline facility. This will allow you to download and save a copy of a data item so that you can work on it offline. You do not need to be connected to the internet or GABRIEL while you are entering data into the offline PDF.

To download one or more data items in a return, either select one or more data items or use the 'Select All' option to select every data item in a return. Click 'Download PDF'.



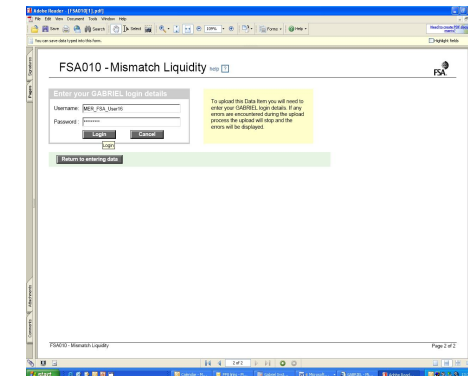
GABRIEL asked for confirmation that you wish to download the data items, click 'Yes' to continue. A **File Download** pop-up box appears giving you the option to Open or Save the data items.



A PDF file is created to each data item. If you choose to download more than one data item, the PDF files will be stored in a zip file. The PDF files allow you to enter data at any time and save to your own PC/Computer.

When you are ready to upload into GABRIEL, open the PDF and click 'Upload' (located at the foot of each page). A warning message appears advising you that this upload will overwrite any data already entered into the online data item. If you wish to continue click 'Yes'.

Enter your GABRIEL login details into the PDF upload file and select 'Login'.



A security warning message, similar to the one shown below, will appear regarding the site you are trying to access. Select 'Allow' to proceed.



If the upload has been successful a message will be displayed. The status of the data item will be Draft. You can view the data item in GABRIEL, and make further changes, as necessary. The next steps will be to validated and submit the data item.

If the upload has **not** been successful, a message will be displayed. You will need to resolve any issues before trying to re-upload the data item.

NOTE: This is not available for NGP reports.

VALIDATING DATA ITEMS

When all required data elements within a data item have been completed, click '**Validate and save**' (located at the bottom of the page) to validate the data item.

If there are no errors within this data item, the system will display "**Data Item successfully validated**" and the completion status of the data item will change to **Ready to submit**. If there are errors, the completion status will be **Failed validation**.

If the status changes to **Failed validation**, click the data item to view the validation error messages and amend the data, as appropriate. Once amended, click '**Validate and save**' again. The system will re-validate and if successful, the completion status will change to **Ready to submit** or '**waiting for cross validation**' (see below for cross validation data items)

Cross validation: Some data items (e.g. RMA-A; RMA-D1 and RMA-E) are subject to a second validation process referred to as **cross validation**. Data items that require cross validation are identified by a 'Yes' in the Cross Validation column on the return.

Once the data items have a status of '**waiting for cross validation**' the second validation can take place. Click the box beside the data items that need to be cross validated and click on the **Cross Validate** button.

Confirm Cross Validation

Are you sure you wish to Cross Validate the selected Data Items?

Ok Cancel

A confirmation page is displayed requiring you to confirm that you wish to cross validate. Select OK to cross validate. If successful, the data items will change status to **Ready to submit**

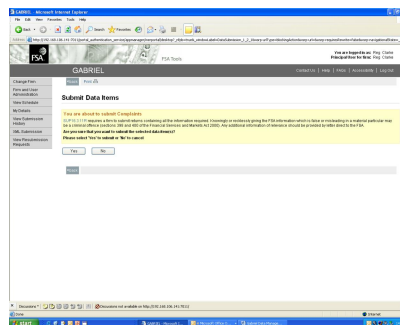
DATA SUBMISSION

A user can only submit data items online if they have the "Submitter" permission. Only data items with the status "**Ready to Submit**" can be submitted.

To submit, click the box beside the data item (e.g. RMA-A Balance Sheet) then click on the "**Submit**" button.

Any number of data items within the same return can be submitted together. To select all data items in a return, use the "**Select all**" button and then click the "**Submit**" button.

A "declaration page" is displayed requiring you to confirm that the information is accurate.



If you are satisfied that the data is correct, select "**Yes**" to submit this data.

A page confirming what data has been submitted, the status of the data item(s) changes to "**Submitted**". This page will also display a reminder of up to 10 returns with outstanding data items.

When **ALL** of the data items within the return have been submitted the return will no longer appear on your reporting schedule. The return can be viewed using the **View Submission History** option.

NOTE: Once submitted, a data item can only be amended using the **Resubmission Request** process and with the approval of the FSA.

VIEWING SUBMITTED RETURNS

Select the "**View Submission History**" menu option from the left hand menu bar. A list of all returns that your firm has submitted will be displayed.

Use the Search details to narrow down the search and click Search. Only those returns with data items that match the search details will be included in the list.

Enter Search Details

HandBook Reference:	<input type="text"/>	Reporting Period Start Date:	From	To	(ddmm/yyyy)
Completion Status:	<input type="text"/>	Reporting Period End Date:	<input type="text"/>	<input type="text"/>	(ddmm/yyyy)
Reporting Basis:	<input type="text"/>	Submission Due Date:	<input type="text"/>	<input type="text"/>	(ddmm/yyyy)
		Submitted Date:	<input type="text"/>	<input type="text"/>	(ddmm/yyyy)

Maximum number of records: 25 Search

To view a submission click on the relevant 'Reporting Period End' date listed below.

Note: It is important to check that all data items in a return have been submitted. If there are any outstanding data items, the return will be listed in the Firm Reporting Schedule.

Reporting Period Start	Reporting Period End	Due Date
01/04/2011	30/04/2011	17/10/2011
01/01/2011	31/01/2011	17/10/2011
12/08/2008	12/08/2008	25/05/2010
01/12/2009	31/12/2009	13/03/2009
01/04/2009	30/06/2009	24/12/2008
01/04/2008	30/06/2008	08/09/2008
01/04/2008	30/06/2008	03/09/2008
01/04/2008	30/06/2008	01/09/2008
01/05/2008	31/07/2008	25/08/2008
01/04/2008	30/06/2008	28/07/2008

To view the data items in any return click on the column headed "**Reporting Period End**". A list of all data items in that return is displayed.

Click on the data item required to reveal the data submitted

If one or more data items are still to be completed, then the return will appear on both the View Schedule and View Submission History. Once all data items have been submitted, the return can only be viewed from the '**View Submission History**'.

RESUBMISSION REQUEST

Select the "**View Submission History**" menu option and locate the return. Click on the **Reporting Period End date** link.

Click the box beside the Data Item you wish to resubmit and select '**Request Resubmission**'.

Select one of the reasons for the resubmission from the list in the drop down box. If the "**Other**" option is selected, please provide full details to support your request and click the '**Confirm**' button.

The request will be considered by the FSA and we will provide a response. The resubmission requester and the firm's PU will receive an email setting out our decision on this request. Your firm can however monitor the progress of any resubmission requests by selecting the "**View Resubmission Requests**" menu option from the homepage.

PRINTING DATA ITEM(S)

To print one data item, click the box beside the data item then click on the '**Print**' button. Any number of data items within the same return can be printed together. To select all data items in a return, use the "**Select all**" button and then click the '**Print**' button*.

A pdf file will be create including all the data items selected. You then have the option to open the pdf and print or save

NOTE: There is a limit to the number of data items that can be selected – this is dependant on the size of the data items and number selected. A time-out error may occur if too many are selected.

NOTE: This is not available for NGP reports.