Financial Conduct Authority

Electronic Reporting

**GABRIEL
Technical Pack – Change
Log**

Version: 8

Issued: 17 February 2014

Document History

Version	Date	Description
1	19/03/2008	Initial version to document changes since the technical pack was originally published on 13/02/2008.
2	08/04/2008	Change to use xpath element in both the direct submission response and the retrieve submission status response message.
3	18/06/2008	Publication of two gateway wsdl files – one for the test service and one for the live service
4	10/07/2009	New gateway schema and wsdl files for the new optional retrieveScheduleWithProfile operation which will return an enhanced firm schedule which contains lists of elements that are "profile switched off" for the RMA data items. Also a correction to the RetrieveSubmissionStatusResponse sample.
5	09/03/2010	New gateway schema file and XML samples for liquidity. The new status and schedule (with profile) response will indicate the currency basis and currency of the underlying flows and balances on FSA047 and FSA048. The status and schedule (with profile) request operations now contain an optional operation version element which must be passed (as v2) to see the new currency basis and currency in the responses.
6	28/09/2010	New gateway schema file, development guide and XML samples for a new operation, v3, for schedule with profile message. The new v3 schedule response will return the data item handbook reference and schema version in discreet new elements.
7	01/04/2011	New gateway schema file, development guide and XML samples for a new operation, v2 of the direct submission request, and a new operation, v3 of the status request. The corresponding responses will now return the data item field reference for any field specific schema or validation errors.
8	25/09/2013	New wsdl file, gateway schema file, development guide and XML sample for a new operation, v4 of the directSubmission request to enable the uploading of file attachments
9	17/2/2014	New wsdl file, gateway schema file, development guide and XML sample for the SubmitReturns request to enable the uploading of XBRL data items

Contents

1   What is the purpose of this document?

The GABRIEL Technical Pack explains how to build a connection to the GABRIEL direct submission gateway and specifies the format of XML instances containing regulatory data for both direct submission and web upload. It is intended to be used by firms and software vendors who develop or use software to generate XML regulatory data.

Over time the specification for both direct submission and web upload will change. The purpose of this document is to catalogue all changes.

2   Releases and Versions of the Technical Pack

The Technical Pack consists of a number of components: development guides, schema files, a WSDL file and example XML instances. Each component is versioned independently – the Technical Pack as a whole is not versioned. However, the FCA generally publishes changes to a number of components at the same time – for example if one of the schema file changes, it is likely that at least one of the example XML instances will also change.

2.1   Publication on 17 February 2014

This update is made to provide the XBRL functionality. This is achieved by introducing:

- A new request (SubmitReturns) to allow for the uploading of XBRL data items to GABRIEL.

New versions of the gateway schema (gateway-v9.xsd) and web services description language files (Gateway-live-v5.wsdl and Gateway-test-v5.wsdl) are provided.

These changes will be effective from the date of our next major release of GABRIEL – this is currently scheduled to be *[10 March 2014]*. Including the new service request on Direct Communication submissions before that date will not work.

2.2   Publication on 25 September 2013

This update is made to provide the file attachment functionality. This is achieved by introducing:

- A new version v4 of the directSubmission request. If the operationVersion is included in the request as "v4", then the operation will process the new (optional) element group of "fileAttachment/filename" and "fileAttachment/payload".

New versions of the gateway schema (gateway-v8.xsd) and web services description language files (Gateway-live-v4.wsdl and Gateway-test-v4.wsdl) are provided.

These changes will be effective from the date of our next major release of GABRIEL – this is currently scheduled to be *[25 November 2013]*. Including the new operation versions before that date will not work.

2.3   Publication on 1 April 2011

This update is made to provide the data item field reference (in addition to the xPath) for any field specific schema or validation errors. This is achieved by introducing:

- A new version v2 of the directSubmission request. If the operationVersion is included in the request as "v2", then the operation response will include "fieldRef" within the schemaError to indicate the handbook data item field reference (eg "27A") of any schema errors. If the operationVersion is not included in the request it will be treated as "v1" and the fieldRef will not be included in the response.

- A new version v3 of the retrieveSubmissionStatus request. If the operationVersion is included in the request as "v3", then the operation response will include "fieldRef" within any validationError and crossValidationError elements.

These changes will be effective from the date of our next major release of GABRIEL – this is currently scheduled to be *[1 April 2011]*. Including the new operation versions before that date will not work.

2.4 Publication on 28 September 2010

This update is made to provide two changes to the main schedule response (schedule with profile). To see these changes the ScheduleWithProfile must contain operationVersion "v3":

- Prior to this update the dataItemName element contained the handbook reference (eg "FSA001") but it was embedded in a character string containing other information such as the name of the data item and possibly the reporting basis. There will now be a new element handbookReferenceNumber which will contain just the reference. The old element dataItemName will be unchanged (ie software that extracts the reference from the name field will continue to work, even with operationVersion "v3").

- Prior to this update, the only way to discover which schema version of a particular data item should be used for a particular reporting date was to look at the web pages of the Data Reference Guide. Now there will be a new element dataItemSchemaVersion within the schedule with profile response.

These changes will be effective from the date of our next major release of GABRIEL (the release which will contain the changes and additions for CRD2) – this is currently scheduled to be 22 November 2010. Passing "v3" as the operation version in RetrieveScheduleWithProfileRequest before that date will not work.

2.5 Publication on 9 March 2010

The main purpose of this update is to provide a means to uniquely identify the new liquidity data items FSA047 (daily flows) and FSA048 (Enhanced Mismatch Report) which may have to be submitted for several individual currencies as well as in aggregate form for all currencies combined. To do this a new element underlyingFlowsBalancesCurrency containing child elements currencyBasis ('consolidated' or 'single') and currency (the ISO currency code where the currencyBasis is 'single') has been introduced into the schedule and status response messages. This mirrors the structure of the currency/basis elements within the data items FSA047 and FSA048 themselves (but uses the lower camel case naming convention rather than upper camel case).

To allow firms who aren't interested in FSA047 and FSA048 to continue to use the gateway without having to change their software, we are introducing the concept of gateway operation versioning within the messages. The old status and schedule request messages will continue to work as they do currently, but to see the new currency/basis information the requests need to contain a new operationVersion element set to "v2". If the element is set to "v1" or omitted altogether, then the gateway will not return the new currency/basis information with its responses.

The status response and schedule with profile response for data items other than FSA047 and FSA048 will be identical for operation version v1 and v2. The new currency/basis elements will not be present for the other data items (this is a design change since the gateway changes were described in a slide presentation to software vendors on 16 February 2010).

Prior to this update there were two schedule operations – the original one plus the schedule with profile one which allows profile switch information to be returned in the schedule response. The changes described above for currency/basis are only being made to the schedule with profile operation. The old schedule operation without profile switch information will be dropped from the gateway at a later date, and the gateway will revert to supporting just 3 operations, but with multiple operation versions.

As well as a new gateway schema file (v5), this update contained the associated files for the changes described above - a new gateway development guide and new request/response XML sample messages for the status operation and the schedule with profile operation.

No changes to the gateway wsdl file or to the XML (web) upload process have been made.

2.6 Publication on 10 July 2009

The main purpose of this update is to provide details of an additional operation which will be available in the Gabriel interface from 20 July 2009. Firms who have RMA data items scheduled may want to use the new operation to be certain as to which fields are required based on the firm's profile.

New versions of the gateway schema (gateway-v4.xsd) and web services description language files (Gateway-live-v2.wsdl and Gateway-test-v2.wsdl) are provided. These contain the definitions of the new operation, retrieveScheduleWithProfile and the associated request, RetrieveScheduleWithProfileRequest, and response, retrieveScheduleWithProfileResponse.

The new operation behaves in the same way as the previous retrieveSchedule operation (which continues to work unchanged), but the response from the new operation may contain a new element called profileSwitchSections. This new element will be returned for any of the RMA data items on a firm's schedule which contain elements which are "profile switched off". This means that these elements must not be present in a submission.

For instance the RMA-A data item contains a section for incorporated entities to complete and a section for unincorporated entities to complete. If a firm is incorporated the section for unincorporated entities will be switched off. A sample request and response for the new operation are provided for a fictional incorporated firm – in the response you can see that the RMA-A schedule entry contains the profileSwitchSections element with the value "[26A, 27A, 28A]". This means that fields 26A, 27A and 28A must not be submitted for this firm (ie the section relating to unincorporated entities. If present, the profileSwitchSections element will always contain a list of the individual field references separated by a comma and space and enclosed in square brackets – these are the fields that are "switched off" for the firm and must not be submitted.

This update also contains:

- A minor correction to the gateway schema file to indicate that the completionStatus within the DataItemResult complex type is optional. If a submission contains a data item that is not on the firm's schedule (for the submitted dates and reporting basis) then the response will not be able to give a completion status for the data item because it doesn't exist.

- A correction to the status response sample (RetrieveSubmissionStatusResponse-Sample-v2.xml) to show that when a data item is awaiting cross validation, its status will be FAILED. When a new submission containing the other data items needed for cross validation is sent in, then assuming everything passes cross validation, the status response for the new submission will contain an entry for the original data item that was awaiting cross validation to indicate that it has now been SUCCESSFULLY SUBMITTED.

2.7 Publication on 18 June 2008

This update:

- Replaced the Gateway web services description language file (wsdl) with two files – one for the live Gateway service and one for the test Gateway service. The only material difference between the new files and the previously published one is the address location attribute for the service.

2.8 Publication on 8 April 2008

This update:

- In the RetrieveSubmissionStatusResponse gateway message - renamed the dataElementID element to xpath (part of the DataElementError complex type) and made the reportingBasis element optional.

- In the DirectSubmissionResponse gateway message - added the xpath element into the schemaError element by using the DataElementError complex type.

- Corrected the Gateway Development Guide by removing Schema Errors from the table describing the Submission Status Response at section 3.4.2 (the previous version had removed schema errors from the Submission Status Response XSD and the diagram at section 3.4.2 but neglected to remove them from the associated table).

2.9 Publication on 19 March 2008

This update introduced the following changes:

- The attribute wsu:Id="SecurityToken-351dff7e-a4ec-49ea-918f-9ddde818f570" which was part of the wsse:UsernameToken within the wsse:Security element was removed as it is not required. This affected all 3 XML messages that firms can submit to the Gateway;

- The frn element in the main XML message for submitting data items (directSubmission) was changed to firmReferenceNumber for consistency with other messages;

- The reportingBasis element was added to the dataItems element in the RetrieveScheduleResponse message as some data items can be scheduled on more than one basis for the same period;

- The RetrieveSubmissionStatusResponse message has changed to no longer detail schema errors – these are only reported as part of the synchronous response to the initial directSubmission message;

- The structure of the XML message for web upload was changed to clarify the position for resubmissions (a copyNumber attribute is now included) and multiple data items (each data item now sits within its own dataItem element which contains the copyNumber element and a new element dataItemBody which in turn contains the actual regulatory data for the data item).

2.10 Publication on 13 February 2008

The first formal Technical Pack publication was on 13 February 2008 and contained:

- A Gateway Development Guide (PDF file);

- The XML Schema file for the Gateway (XSD file);

- A Web Services Description Language file for the Gateway (a wsdl file);

- Sample XML instances of the 3 type of messages that can be sent to the FSA (for retrieving a schedule; submitting data items; and querying the status of a submission) and sample responses for each one;

- A Web Upload Development Guide (PDF file);

- The XML Schema file for Web Upload (XSD file); and

- A sample XML instance of a message containing data items that can be uploaded.