

Financial Conduct Authority



Electronic Reporting

**GABRIEL Web Upload
Development Guide**

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Document History

Version	Date	Description
1	13/02/2008	Initial version
2	19/03/2008	Updates to the xml-upload.xsd Added the dataltem/copyNumber element Added the dataltem/dataltemBody element
3	16/01/2014	Updated to upload XBRL data item.
4	11/10/2014	Updated for AIFMD Submissions.

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1 INTRODUCTION

1.1 BACKGROUND

The FCA's strategic reporting system, GABRIEL¹, provides an Upload XML facility. This allows firms to upload files containing reporting data into GABRIEL which will save the data in draft format. Once uploaded, firms can then use GABRIEL to view, edit, validate and submit the data.

The files that are uploaded must contain one or more data items in the XML format set out in the Data Reference Guide² and must contain additional "wrapping" XML elements. All the data items within a single file must belong to the same "subset" (ie have the same reporting period start and end date and submission due date).

The purpose of this document is to describe how to format data items within the XML upload "wrapper" and how to upload the resultant XML file into GABRIEL.

As part of the CRDIV program it is required that Gabriel provides a capability to allow firms to submit XBRL data via web upload mode of submission. Upload XBRL functionality is included into Gabriel system to provide XBRL submission facility. The XBRL instance files that are uploaded via Upload XBRL can be GZIP compressed for better response time. We recommend that files over 1 MB should be compressed and uploaded. GABRIEL will only accept files up to 10 MB in size.

1.2 INTENDED AUDIENCE

This document is intended for IT professionals developing software to generate XML files of data items and for firms who will use GABRIEL's Upload XML functionality to load those XML files into GABRIEL.

1.3 DOCUMENT STRUCTURE

This document is presented in three sections:

1. Introduction – explains the document and its purpose
2. Operational Overview – describes the XML Upload functionality in the GABRIEL System
3. XML Upload XSD Description – describes in detail the format of the XML document used to upload Data Items.

¹ It is assumed the reader is already familiar with the GABRIEL system (Gathering Better Regulatory Information Electronically), formerly known as the Mandatory Electronic Reporting or MER system.

² This document does not describe the XML format of individual data items – that is described in the Data Reference Guide – see <http://www.fca.org.uk/firms/systems-reporting/gabriel/system-information/data-reference-guides>.

2 UPLOAD FIRM DATA ITEMS

2.1 OVERVIEW

This GABRIEL function allows a Firm Editor to upload an XML file of Firm Data Items. The user identifies a file which will provide the details of one or more Firm Data Items in a Subset. If the file is in a valid format and the data items are due, then the system will store the data in a draft format, otherwise an error will be reported.

The user must have "Firm Editor" permission and must have already logged into the GABRIEL System and navigated to the XML Upload screen.

The Firm Editor must have an XML instance file that they wish to upload.

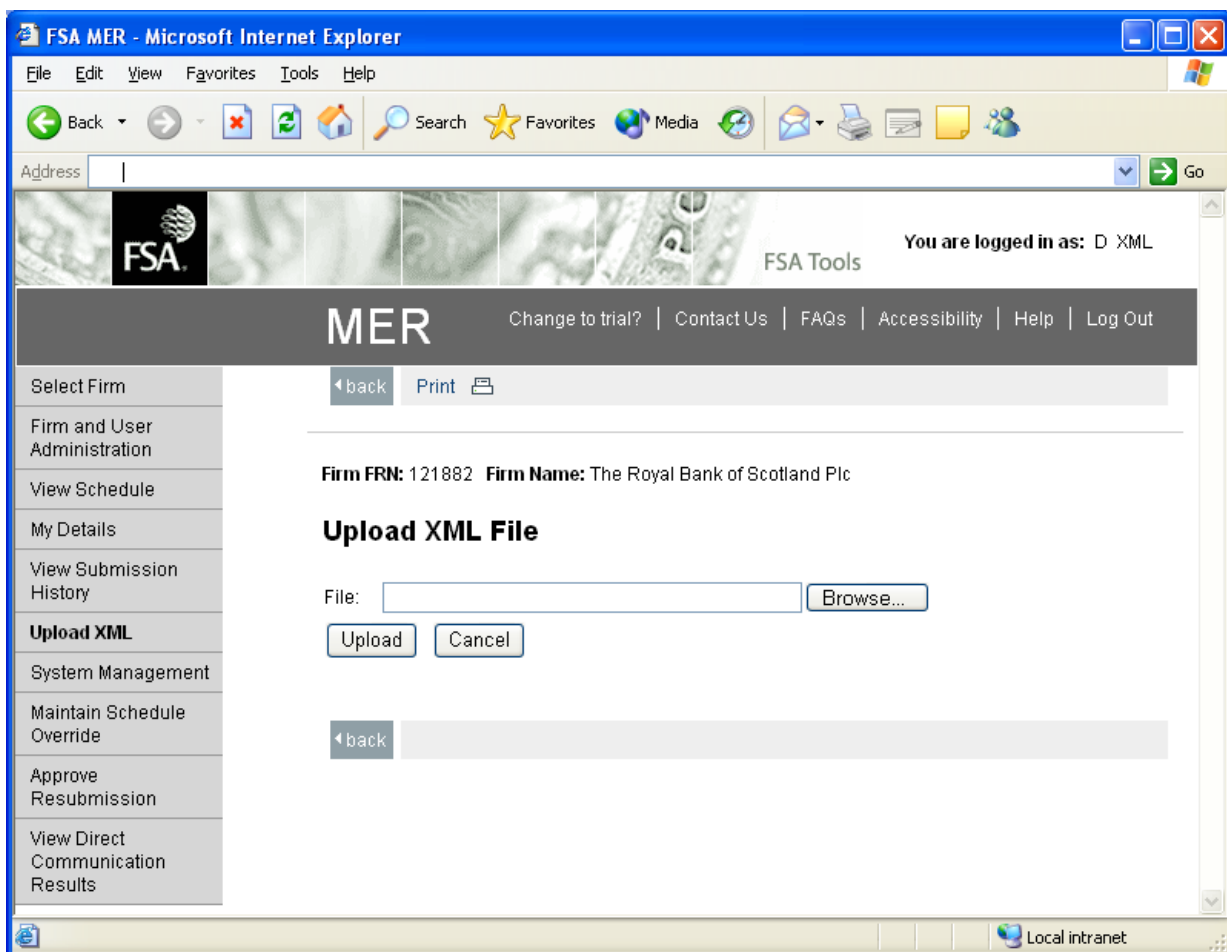


Figure 1 shows the XML Upload screen

The user will click the “Browse” button on the XML Upload screen (Figure 1) and browse the local file system for the XML file that is to be uploaded. By clicking the “Upload” button the file will be uploaded into the GABRIEL System and then processed. Once the file has been successfully processed the XML Upload confirmation screen (Figure 2) will be displayed.

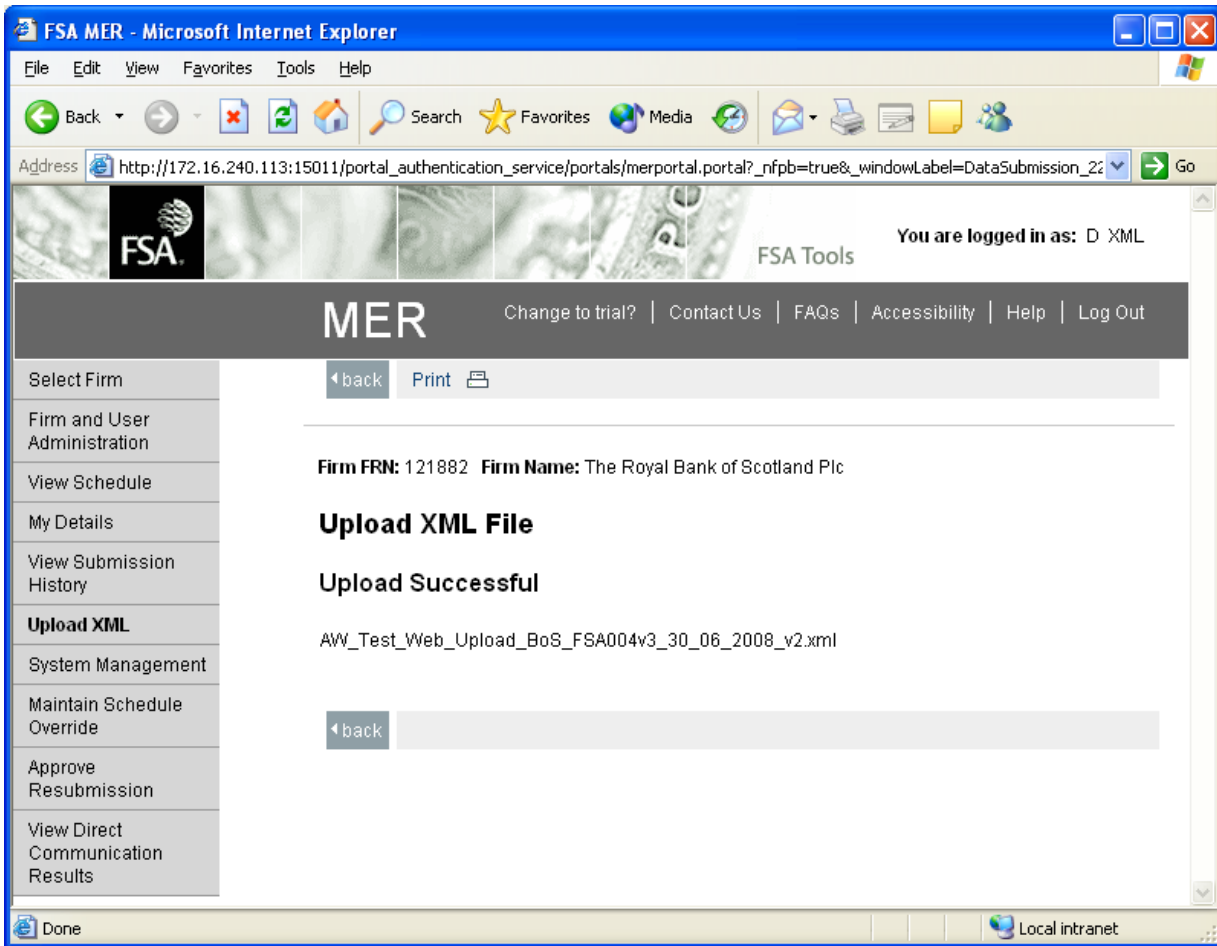


Figure 2 shows the XML Upload confirmation screen

2.2 PROCESSING STEPS

1. The System checks whether the Firm's Reporting Schedule has a Firm Data Item which matches to the Data Item received using the same Reporting Period Start Date, Reporting Period End Date, Submission Due Date, Handbook Reference, Reporting Basis and Copy Number.

If the above check fails the following message will be displayed:

The Firm Data Item could not be found on the Firm Reporting Schedule.

The System validates each Data Item against the associated Schema

If schema validation fails the following message is displayed:

Upload failed. Schema Validation errors encountered.

2. It will not be possible to upload a Firm Data Item if it has already been stored in GABRIEL with one of the following status values: 'Submitted', 'Paper Received', 'Copy Created', 'Satisfied for Group' or 'Processed Externally'.

In such cases the following message is displayed:

Upload failed. Data Item is not available for update.

3. Firm Data Items within a Subset may only be provided after the Reporting Period End Date of the Subset has passed.

Otherwise the following message is displayed:

Upload failed. Subset is not available for update.

4. It will not be possible for the Firm Data Item to be amended if the Paper Processing Indicator 'Will be Processed as Paper' has been set to Yes.

The following message is displayed

Upload failed. Data Item is not available for update.

5. The user must have a permission of 'Firm Editor' on Firm User Profile for that Firm Data Item, otherwise the following message is displayed:

Your User Profile is not associated to the equivalent Data Item - please contact your Firm Administrator for details.

6. If all the Firm Data Items do not belong to the same Subset.

All the uploaded Firm Data Items must belong to the same Subset.

7. Before uploading a new version of a Data Item which is already recorded in GABRIEL the System will display the following warning message:

The System will overwrite the existing data. Do you wish to continue?

8. The System checks that all elements in each Data Item are applicable for the Subset and have not been disabled according to the Firm Profile, if they are disabled then the following message is displayed:

Upload failed. The Data Item provided contains some values which are not required based on your Firm Profile.

3 XML FORMAT

3.1 UPLOAD FIRM DATA ITEM

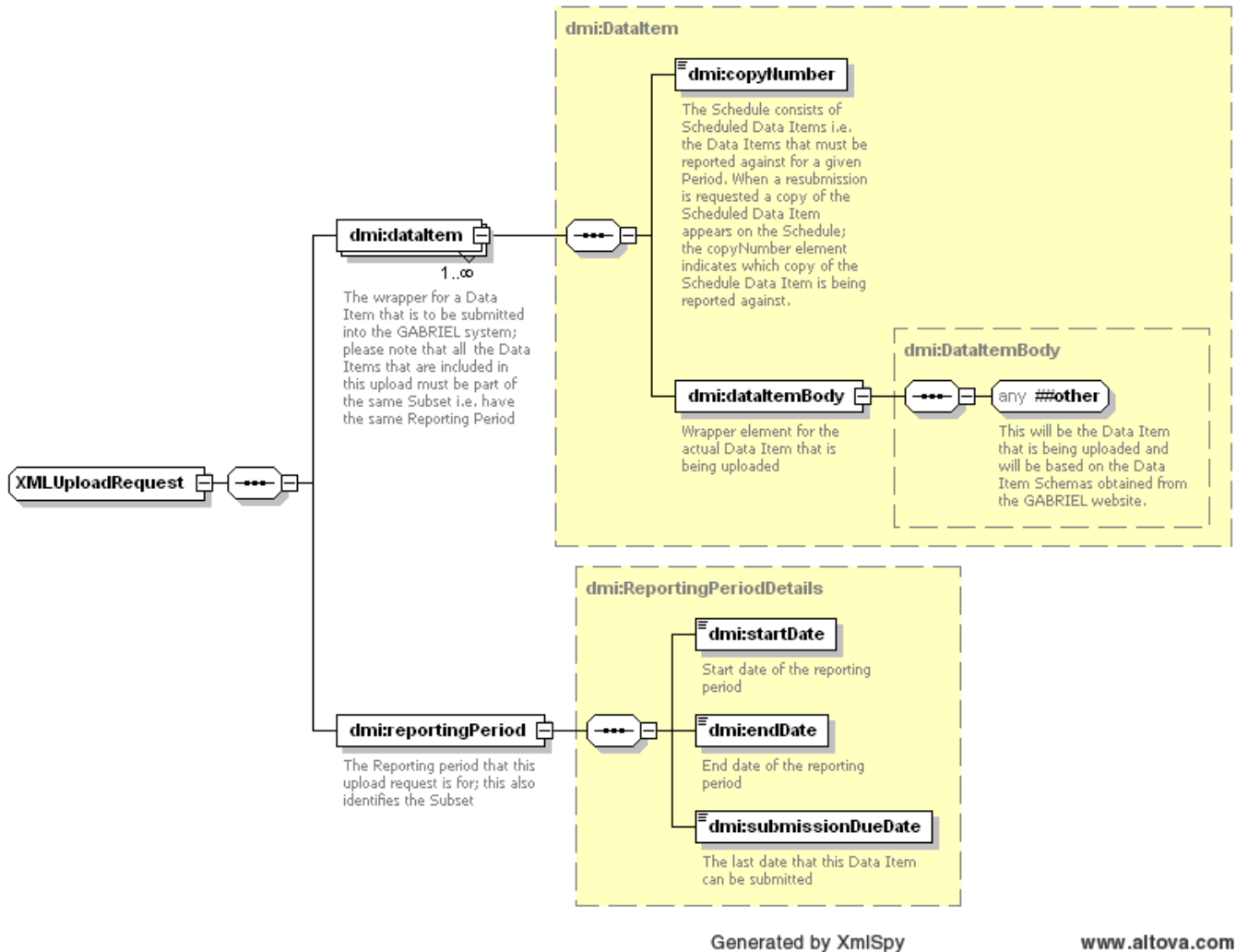


Figure 3 shows the structure of the XMLUploadRequest

The XMLUploadRequest element is the container for the Data Items that are to be uploaded.

XMLUploadRequest			
Element	Description	Mandatory/Optional	Type (Format)
XMLUploadRequest	This is the root element of the XML document	mandatory	xsd:complexType
dataitem	The wrapper for a Data Item that is to be submitted into the GABRIEL system; please note that all the Data Items that are included in this upload must be part of the same Subset i.e. have the same Reporting Period	mandatory	xsd:complexType

dataItem/copyNumber	The Schedule consists of Scheduled Data Items i.e. the Data Items that must be reported against for a given Period. When a resubmission is requested a copy of the Scheduled Data Item appears on the Schedule; the copyNumber element indicates which copy of Schedule Data Item is being reported against.	mandatory	xsd:unsignedLong
dataItem/dataItemBody	The actual Data Item as per the Schemas obtained from the GABRIEL website	mandatory	xsd:any
reportingPeriod	The reporting period for the uploaded Data Items	mandatory	xsd:complexType
reportingPeriod/startDate	The start date of the reporting period	mandatory	xsd:date
reportingPeriod/endDate	The end date of the reporting period	mandatory	xsd:date
reportingPeriod/submissionDueDate	The submission due date for the data items that are to be uploaded	mandatory	xsd:date

The actual xml schema file against which uploaded files will be validated and a sample xml web upload file are available as part of the Gabriel Technical Pack – see

<http://www.fca.org.uk/firms/systems-reporting/gabriel/system-information/Technical-Pack>

4 UPLOAD XBRL DATA ITEMS

This functionality allows a Firm Editor to upload a XBRL instance file.

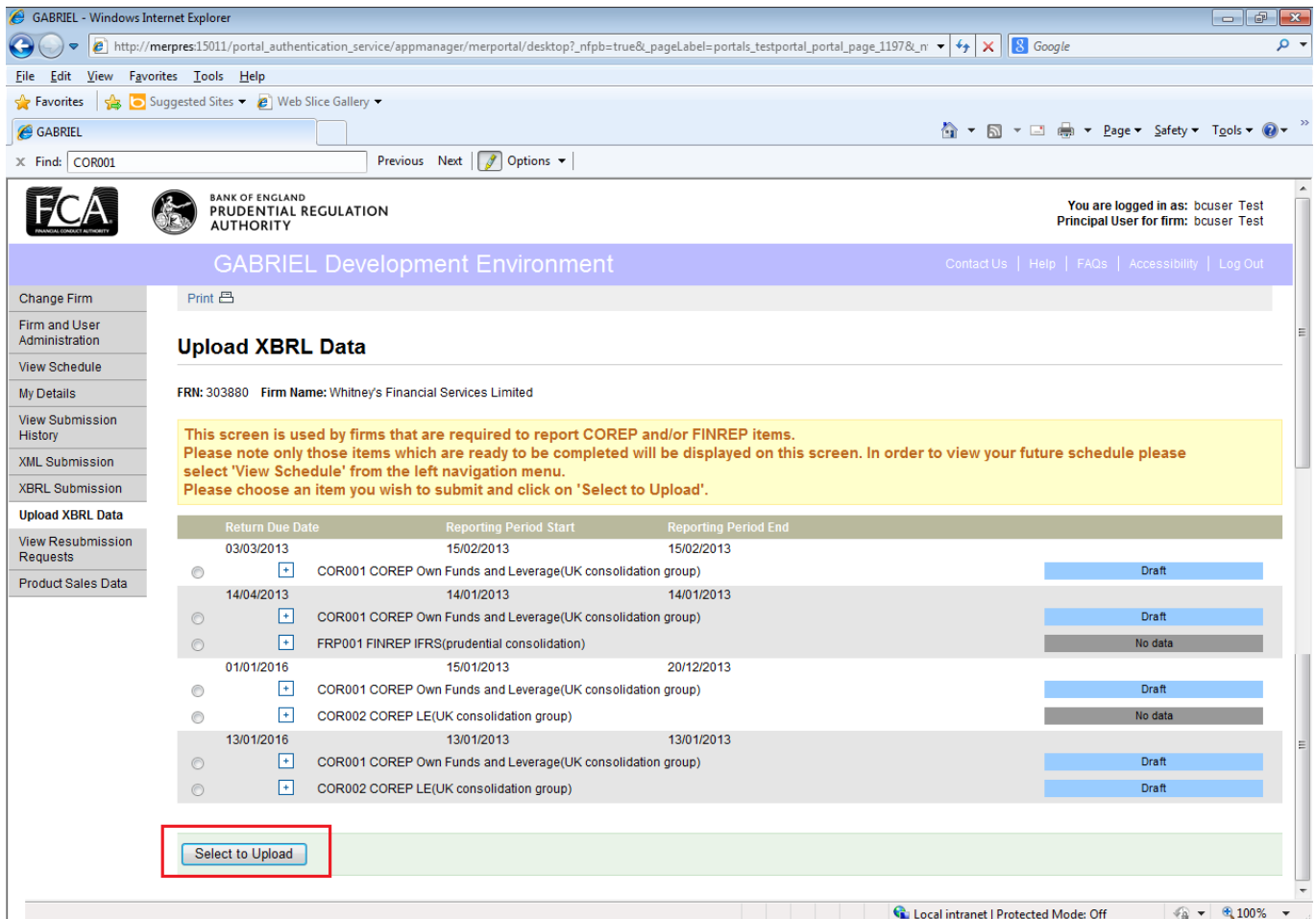
The user must have "Firm Editor" permission in order to use this functionality.

4.1 INITIATE XBRL UPLOAD

Gabriel system provides two options for initiating XBRL upload:

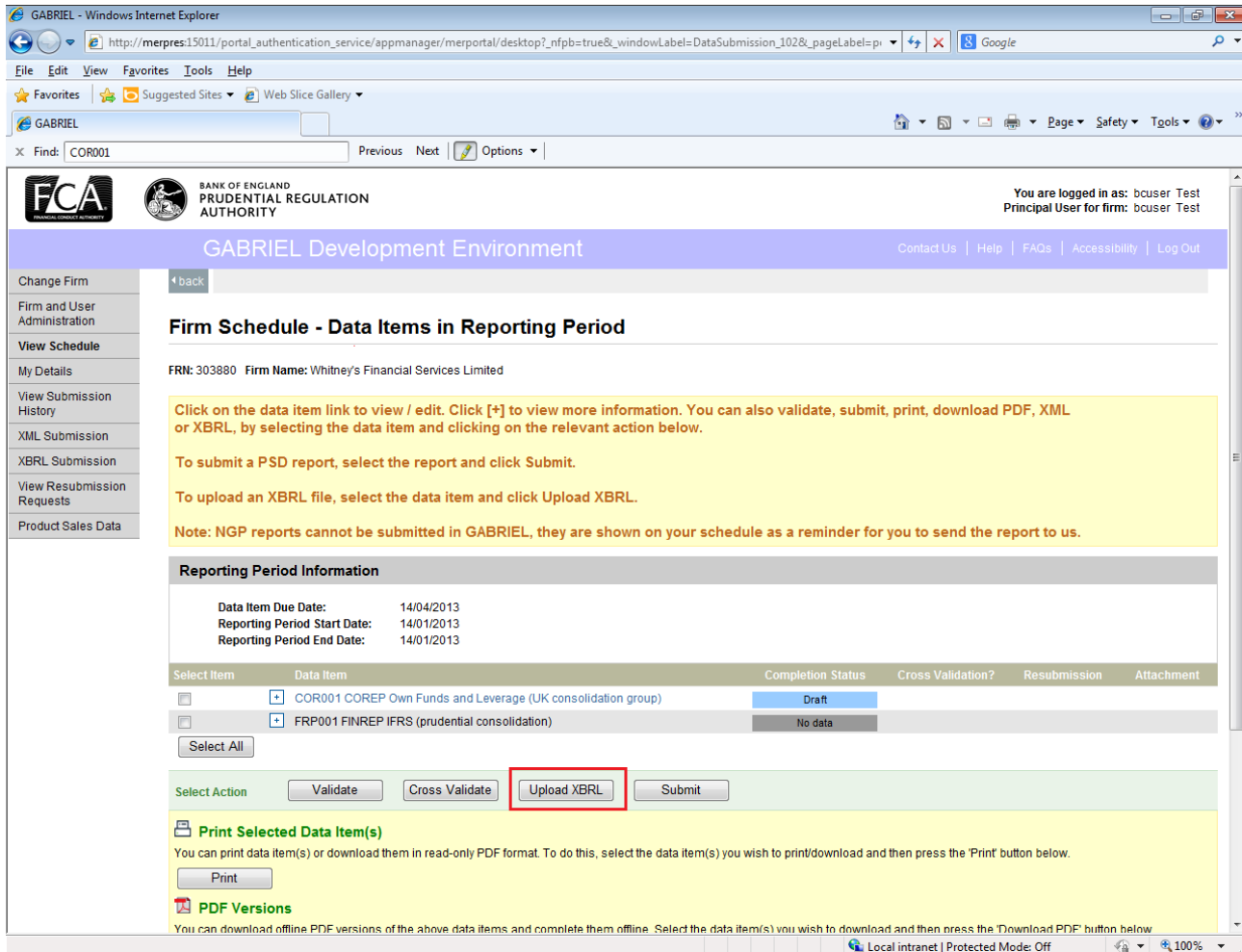
- ❖ Upload XBRL via XBRL Submission navigation link (section 4.1.1)
- ❖ Upload XBRL via Firm Schedule (section 4.1.2)

4.1.1 Option 1: Upload XBRL via XBRL Submission Navigation Link



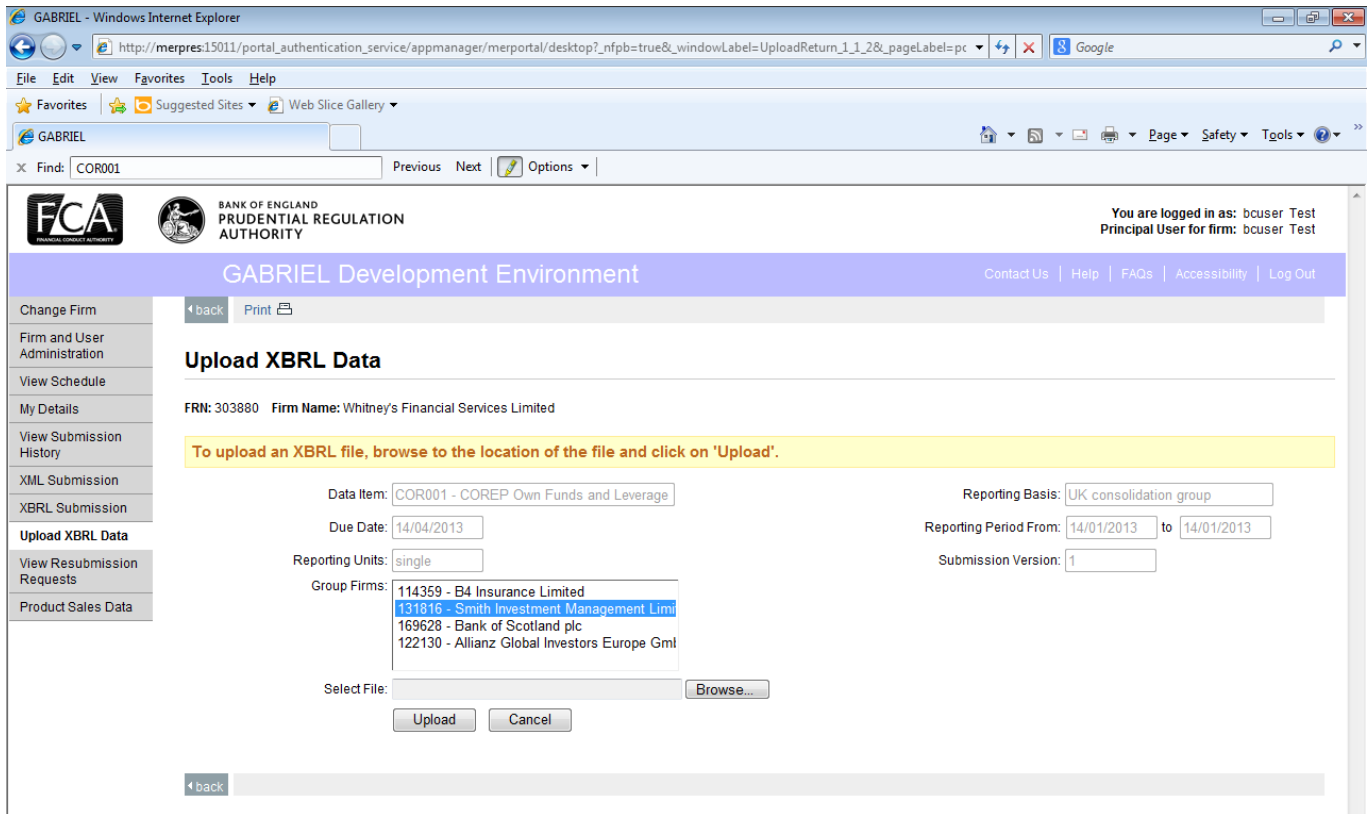
This screen displays the COREP/FINREP data items from the firm's schedule that are available for submission. The firm editor may choose to upload a XBRL instance against a selected return displayed on the screen using the 'Select to Upload' button.

4.1.2 Option 2: Upload XBRL via Firm Schedule



The firm editor can navigate to the subset which contains the COREP/FINREP data item that is required to be submitted. The firm editor can then select the return and click on 'Upload XBRL' button to continue to screen 4.2 to upload the submission.

4.2 UPLOAD XBRL DATA



This screen enables the firm editor to review details of the return. XBRL files may be uploaded in uncompressed or compressed (gzip) format. It is recommended that any large files, i.e. greater than 1 MB are compressed. GABRIEL will not accept files greater than 10 MB in size.

Files should have one of the following file extensions:

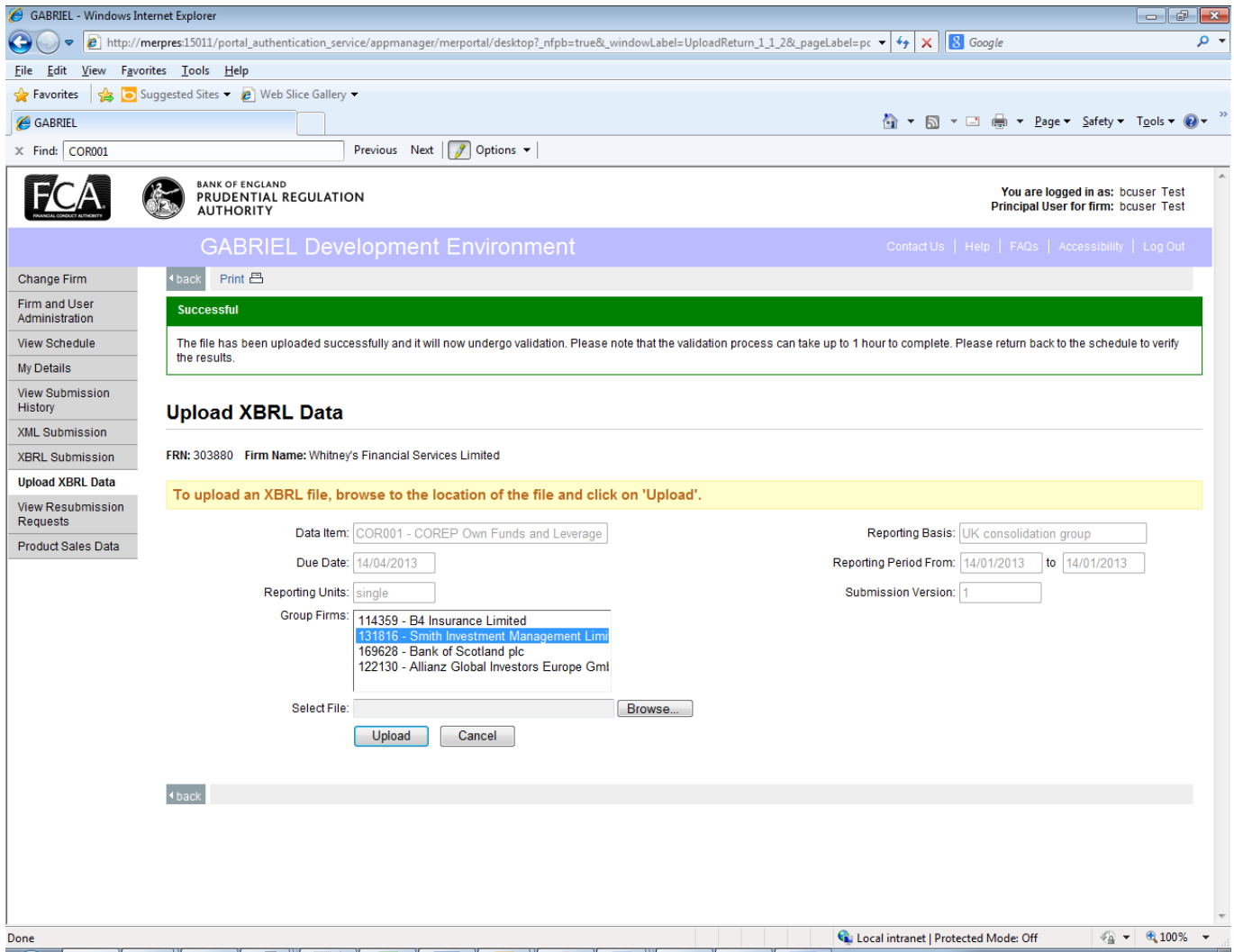
.xml (Note: The content within the file is expected to be XBRL 2.1 compliant.)

.xbrl

.gz

For group submission, firm editor must choose required firms from the group firm list. Please note by default all firms within the group will be selected.

4.3 UPLOAD CONFIRMATION



After successful upload the system will display a confirmation message.

Note: The system will continue to perform further validation on the submission. Upon completion, an email will be sent to the firm editor confirming the status of the submission. In the event of any errors occurring during validation, the user will need to login to GABRIEL to view additional information.

5 UPLOAD AIFMD

This GABRIEL Upload AIFMD facility allows a Firm Editor to upload AIFMD submissions. The uploaded file must be a valid xml file. If the submission is schema valid and for appropriate period then the system will store the data in a 'Draft' state and successful upload message will be reported to the firm editor. System further asynchronously performs other business validation on uploaded data and move the report state to either 'SUBMITTED' or 'FAILED VALIDATION' state based on result of validation.

The user must have "Firm Editor" permission and must have already logged into the GABRIEL System and navigated to the 'Upload AIFMD XML' screen.

5.1 INITIATE AIFMD UPLOAD

- The user will have to click the “Browse” button on the Upload AIFMD Xml screen and browse the local file system for the XML file that is to be uploaded.
- By clicking the “Upload” button the file will be uploaded into the GABRIEL System and subsequently get processed.
- Once the file has been successfully processed the XML Upload confirmation screen will be displayed.
- If file failed to validate against schema then corresponding validation failure will be displayed on same screen.
- System creates report(s) entries for all successfully uploaded reports which will be initially appear in 'Draft' state.
- System asynchronously processes the submission further and updates the status of the report as 'Submitted' or 'Rejected'.
- Failure reasons can be verify by visiting rejected report(s) from AIFMD Submission History.