

Are you **READY, WILLING** and **ORGANISED**?

Business plan

Have you aligned your business plan to the FCA high level standards

Does your plan demonstrate that you meet the threshold conditions and the principles of business

Business risks

Have you documented the customer journey and captured your business and conduct risks

Can you evidence that your key controls are effective and mitigate your risks

Compliance policies and monitoring

Have you communicated your policies to all your staff

Is your monitoring plan risk based and does it cover the key areas