

Foreword

Since regulated firms have the ability to use us for “Important operational functions” we make sure to stick to the [FCA Outsourcing Guidance FG16/5](#) to remain compliant for anyone using us. We know that you retain full regulatory responsibilities whilst using our services. The following describes how we would be an essential asset to your companies due-diligence.

Areas that firms should consider in relation to outsourcing to the cloud and other third-party IT services, and how we ensure compliance

Legal and regulatory considerations

We ensure reduction in operational risk with our streamlined customer interface. We aim to be the strongest link in your supply chain in terms of compliance.

Outsource agreements are available if needed if you decide to work with us. All necessary documentation will be stored on the cloud and can be accessed by either party at any time.

View our GDPR Policy [here](#).

Risk Management

If you have a risk assessment related the document collection process, we can provide you with information to easily make an assessment with data and information security management system requirements and cyber risk mitigation for different geographical or jurisdictional locations e.g. UK, EEA or non-EEA.

Our Data Breach Procedure can be viewed [here](#).

International standards

Data is stored in relevant servers in the country from where the data originates. However upon an audit, any information can be accessed at any time, as the service provided with regards to document collection, form filling and eSignatures is uniform across the board.

Continuity, Business Planning and Effective Access To Data

Upon the unlikely event of service failure on our side, we offer to provide to carry out the processes our system was set up to do, until the issue is fixed. We've proven to have 99.99% uptime.

Doc-Solve is regularly updated and improved. To insure effectiveness, upon request we can place periodic arrangements to test our service, and provide and store the results accessible by both parties.

We also provide access to all of the data acquired over the contract period at any time.

Access to Business Premises - Free Regulator, Firm and Auditor Access

Our premises are available to be visited at any time by a third party, their auditors and the relevant competent authorities. To whom we will provide any relevant data and records.

Resolution (where applicable)

Since our service is a problem solving solution, it creates simplicity in the document collection process.

We agree that neither the entry into resolution nor a subsequent change in control arising from the firm's entry into resolution shall constitute a termination event.

We hold no deposits or client assets, so we do not stand in the way of insolvency procedures for your firm.

Exit Plan

Since our services only speeds up and streamlines document collection processes, firms ability to perform previously manual document collection processes that were in place prior to using our services still remains.

If the firm decides to swap providers, we can issue all necessary documentation and data needed to do so. However in the unlikely event of a fatal error during this process, we do provide an alternative manual document collection and data processing mechanical turk service to maintain your business continuity.

Upon exit we also remove any data associated with your firm.

If there is a function to the software that you need to be compliant, or a term/condition needed to do business with us we will add it upon request.