

United Kingdom Regulatory Hub

Country-specific obligations, regulatory sources and product workflow mappings.

GBR Regulatory Hub

Region: Europe

Board-ready risk, control and operational-resilience evidence

The United Kingdom combines prudential and conduct supervision, a mature corporate-governance code, operational-resilience rules, cybersecurity duties and data-breach notification. Firms need clear impact tolerances, accountable control functions, incident evidence and timely senior-management reporting.

GBR

Europe governance, risk and compliance intelligence

PRA

Prudential Regulation Authority

Industries Regulated

Banking and lending

FCA

Financial Conduct Authority

Industries Regulated

Banking, payments, consumer credit, investment firms and capital markets

FRC

Financial Reporting Council

Industries Regulated

Listed and public-interest entities, auditors and corporate reporting

ICO

Information Commissioner's Office

Industries Regulated

Cross-sector data controllers and processors

Supervisory Priorities

What Regulated Organisations Need to Operationalise.

The applicable perimeter depends on entity type, licence and sector. These priorities provide a practical starting point for programme design and evidence management.

01

Risk Governance and Control Functions

02

Important-Business-Service Resilience

03

Outsourcing and Third-Party Risk

04

Internal Audit and Board Assurance

05

Incident and Breach Notification

Regulatory Alignment

United Kingdom Regulation and Product Map

Each row translates an official regulatory source into an operational GRC focus, then identifies only the platforms with a defensible workflow or evidence role.

Research Review

Official-source and product-fit review completed 1 September 2026.

Primary Fit

The platform directly manages a central process or evidence set described in the requirement.

Supporting Fit

The platform contributes linked evidence, oversight or follow-up but is not the main system for the requirement.

Not Shown

A weak or unsubstantiated product relationship is intentionally omitted.

United Kingdom Regulation And Product Map

Supervisory Statement SS1/21 Operational Resilience PRA

Applies To: PRA-regulated firms within the statement's scope

Operational Focus: Important business services, impact tolerances, mapping, scenario testing, remediation, lessons learned and board accountability.

Platform Fit and Workflow Support: Primary fit Operational-risk registers, critical-service assessments, controls, KRIs, treatments and leadership reporting. Supporting fit Risk-based assurance, control design and effectiveness testing, evidence, findings and action follow-up. Boundary Workflow and evidence support only. Applicability and legal interpretation remain with the organisation and its advisers.

Source: Source

<https://www.bankofengland.co.uk/prudential-regulation/publication/2021/march/operational-resilience-impact-tolerances-for-important-business-services-ss>

Supervisory Statement SS2/21 Outsourcing and Third Party Risk Management PRA

Applies To: PRA-regulated firms within the statement's scope

Operational Focus: Materiality assessment, due diligence, contractual controls, concentration risk, continuity, exit planning, incident escalation and assurance.

Platform Fit and Workflow Support: Primary fit Disruption reporting, escalation, investigation, corrective action, recovery tracking and closure evidence. Primary fit Third-party risks, controls, assessments, treatments, approvals, KRIs and oversight reporting. Boundary Workflow and evidence support only. Applicability and legal interpretation remain with the organisation and its advisers.

Source: Source

<https://www.bankofengland.co.uk/prudential-regulation/publication/2021/march/outsourcing-and-third-party-risk-management-ss>

Senior Management Arrangements, Systems and Controls FCA

Applies To: FCA-authorized firms subject to relevant SYSC provisions

Operational Focus: Risk-control arrangements, compliance, internal audit, operational-risk governance, responsibilities, escalation and documented assurance.

Platform Fit and Workflow Support: Primary fit Risk and control registers, assessments, appetite or limits, KRIs, treatments, approvals and board reporting. Primary fit Audit universe, risk-based planning, RCM-linked testing, working papers, evidence, findings and follow-up. Primary fit Incident reporting, triage, investigation, root cause, corrective action, escalation and closure. Boundary Workflow and evidence support only. Applicability and legal interpretation remain with the organisation and its advisers.

Source: Source

<https://handbook.fca.org.uk/handbook/SYSC/7/1.html>

UK Corporate Governance Code 2024 FRC

Applies To: Companies reporting against the Code under applicable listing requirements

Operational Focus: Board responsibility, risk management, internal controls, audit committee oversight, effectiveness declarations and transparent reporting.

Platform Fit and Workflow Support: Primary fit Audit universe, risk-based planning, RCM-linked testing, working papers, evidence, findings and follow-up. Primary fit Risk and control registers, assessments, appetite or limits, KRIs, treatments, approvals and board reporting. Boundary Workflow and evidence support only. Applicability and legal interpretation remain with the organisation and its advisers.

Source: Source

<https://www.frc.org.uk/library/standards-codes-policy/corporate-governance/uk-corporate-governance-code/>

UK GDPR Personal Data Breach Requirements ICO

Applies To: Controllers and processors handling personal data within the UK GDPR regime

Operational Focus: Breach logging, risk assessment, regulatory notification, affected-person communication, response evidence and corrective actions.

Platform Fit and Workflow Support: Primary fit Incident intake, assessment, investigation, notification workflow, corrective action, escalation and closure evidence. Primary fit Privacy risks, controls, assessments, treatment actions, ownership, approvals and management reporting. Boundary Notification workflow and evidence can be configured. Submission to an authority requires an approved process or integration.

Source: Source

<https://ico.org.uk/for-organisations/report-a-breach/personal-data-breach/personal-data-breaches-a-guide/>

Network and Information Systems Regulations 2018 UK Government and designated competent authorities

Applies To: Operators of essential services and relevant digital service providers

Operational Focus: Security risk management, service continuity, incident response, significant-incident notification and regulator assurance.

Platform Fit and Workflow Support: Primary fit Disruption reporting, escalation, investigation, corrective action, recovery tracking and closure evidence. Primary fit Operational-risk registers, critical-service assessments, controls, KRIs, treatments and leadership reporting. Boundary Notification workflow and evidence can be configured. Submission to an authority requires an approved process or integration.

Source: Source

<https://www.legislation.gov.uk/ukxi/2018/506>

This mapping is an implementation aid, not legal advice. It describes configurable workflow and evidence support, not automatic compliance. Always validate applicability, current versions, implementation dates and supervisory expectations with qualified advisers and the relevant authority.

Product Mapping Grounded in the 2026 Solution Briefs.

The mapping uses the capabilities documented in the current brochures. It does not extend the platforms beyond their stated functional scope.

Risk and Control Intelligence

Best suited to enterprise risk ownership, risk and control registers, assessments, appetite and tolerances, KRIs, treatments, approvals, dashboards and board reporting.

Central risk and control register

KRI threshold alerts

Treatment action tracking

AI-assisted drafting and classification

Independent Assurance

Best suited to the audit universe, risk-based planning, engagement execution, RCM-linked design and effectiveness testing, evidence, findings, approvals and follow-up.

Risk-based audit planning

ToD and ToE test procedures

Working papers and evidence

GIAS 2024 observation drafting

Incident Response and Closure

Best suited to incident intake, triage, investigation, root-cause analysis, escalation, notifications, corrective and preventive actions, closure and lessons learned.

Central incident register

Investigation and root cause

Escalation and notifications

Corrective-action tracking

Scope boundary

The platforms support governance workflows, accountability, evidence and reporting. They do not calculate regulatory capital or liquidity, replace technical cybersecurity monitoring, provide legal interpretation, issue external-audit opinions or automatically file statutory notifications unless an approved integration and process are configured.

Connected Operating Model

From Obligation to Board-Ready Evidence.

Use one traceable workflow to translate requirements, manage execution and demonstrate oversight.

01

Catalogue Obligations

Structure local requirements by entity, licence, authority and accountable owner.

02

Connect Operational Evidence

Link obligations to risks, controls, incidents, tests, findings and remediation.

03

Monitor and Assure

Track KRIs, control status, audit coverage, incidents and action closure continuously.

Risk intelligence

Independent assurance

Incident response

TransVare Europe | United Kingdom

Build a Connected GRC Operating Model for the United Kingdom

See how TransVare can support local regulatory readiness while preserving regional visibility and board oversight.