Systems

CONTENTS

1. Systems inventory

🧭 Purpose

Register of the systems that operational processes depend on, with owners, criticality and support routes. Process documents reference systems by the short name in this inventory.

> ℹ️ **System inventory standard**
>
> Process documentation should reference approved short names from this register to maintain consistency across operational procedures, controls, and reporting artefacts.

🖥️ System inventory

Short name	System	Purpose	Business owner	Criticality
CRM	Customer relationship management platform	Intermediary and client master data, pipeline, activity	Head of Distribution	High
PAS	Policy administration system	Quotes, policies, endorsements, renewals	COO	Critical
CLM	Claims management module	FNOL through settlement	Claims Operations Manager	Critical
FIN	Finance ledger and reconciliation suite	GL, premium recs, statements, commission	CFO	Critical
SCR	Screening tool	Sanctions, PEP and adverse-media screening	Head of Compliance	High
ESG	E-signature platform	Agreement and mandate execution	Channel Manager	Medium
BI	Reporting and dashboard layer	Scorecards, ops review packs	Head of Performance and Improvement	Medium

📋 Governance rules

- A process document must not name a vendor product directly; it uses the short name so a system swap is a one-line change here.
- Access to each system follows the joiner-mover-leaver standard in **Policies and Standards**.
- Incidents and outages follow the incident route in each system profile; recurring incidents become improvement opportunities via **Continuous Improvement**.

🧾 Records and evidence expectations

System ownership updates, criticality reassessments, and support route amendments should be retained within governance review records and operational committee packs.

2. System profiles

2.1. CRM

🧭 Overview

The CRM holds intermediary and client master data, sales pipeline and activity history. It is the system of record for intermediary relationships; the policy administration system (PAS) is the system of record for policies.

Attribute	Value
Business owner	Head of Distribution
Data owner	Distribution Operations Manager
Criticality	High — onboarding and panel processes stop without it
Availability window	06:00–22:00 business days; batch window overnight

⚙️ Key configuration this workspace depends on

- **Validation rule VR-INT-011** — blocks intermediary activation without a well-formed FSP number (control CTRL-D-04 depends on it)
- **Commission code restriction** — only approved structure codes selectable (control CTRL-D-09)
- **Segregated activation permission** — the *Intermediary Admin* profile can create but not activate; activation needs the *Intermediary Approver* profile (control CTRL-D-07)

> ⚠️ **Governance-controlled configuration**
>
> Changes to validation rules, commission restrictions, or activation permissions are treated as control changes and require operational risk forum approval before deployment.

🧭 Operational governance guidance

Configuration changes should reference impacted controls, approval evidence, deployment timing, and rollback considerations within the associated change record.

🛠️ Support route

1. In-app support ticket for defects and access issues
2. Data corrections through the data owner — never direct database edits
3. Configuration changes routed through the change forum with the control impact stated