



JOINT COMMITTEE OF THE EUROPEAN SUPERVISORY AUTHORITIES

ANNEX I

Templates for the reporting of major incidents

| Number of field | Data field | |
|---|---|--|
| General information about the financial entity | | |
| 1.1 | Type of report | |
| 1.2 | Name of the entity submitting the report | |
| 1.3 | LEI of the entity submitting the report | |
| 1.4 | Type of the entity submitting the report | |
| 1.5 | Name of the financial entity affected | |
| 1.6 | Type of financial entity affected | |
| 1.7 | LEI code of the financial entity affected | |
| 1.8 | Primary contact person name | |
| 1.9 | Primary contact person email | |
| 1.10 | Primary contact person telephone | |
| 1.11 | Second contact person name | |
| 1.12 | Secondary contact person email | |
| 1.13 | Second contact person telephone | |
| 1.14 | Name of the ultimate parent undertaking | |
| 1.15 | LEI code of the ultimate parent undertaking | |
| 1.16 | Name of affected third party providers | |
| 1.17 | LEI code of affected third party providers | |
| 1.18 | Reporting currency | |
| Content of the initial notification | | |
| 2.1 | Date and time of detection of the incident | |



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| Number of field | Data field | |
|---|--|--|
| 2.2 | Date and time of classification of the incident as major | |
| 2.3 | Description of the incident | |
| 2.4 | Classification criteria that triggered the incident report | |
| 2.5 | Materiality thresholds for the classification criterion 'Geographical spread' | |
| 2.6 | Discovery of the incident | |
| 2.7 | Indication whether the incident originates from a third party provider or another financial entity | |
| 2.8 | Impact or potential impact on other financial entities and/or third-party providers | |
| 2.9 | Description of how the incident affects or could affect other financial entities | |
| 2.10 | Description of how the incident affects or could affect third-party providers | |
| 2.11 | Information whether the major incident has been recurring | |
| 2.12 | Number of occurrences of the same incident | |
| 2.13 | Information on whether the incident relates to a previous incident | |
| 2.14 | Activation of business continuity plan, if activated | |
| 2.15 | Business continuity plan: description | |
| 2.16 | Other information | |
| Content of the intermediate report | | |
| 3.1 | Incident reference code provided by the financial entity | |
| 3.2 | Incident reference code provided by the competent authority | |
| 3.3 | Date and time of occurrence of the incident | |
| 3.4 | Date and time of occurrence of recurring incidents | |
| 3.5 | Date and time when services, activities and/or operations have been restored | |
| 3.6 | Number of clients affected | |
| 3.7 | Percentage of clients affected | |
| 3.8 | Number of financial counterparts affected | |
| 3.9 | Percentage of financial counterparts affected | |
| 3.10 | Impact on relevant clients or financial counterpart | |



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| Number of field | Data field | |
|-----------------|--|--|
| 3.11 | Number of affected transactions | |
| 3.12 | Percentage of affected transactions | |
| 3.13 | Value of affected transactions | |
| 3.14 | Information whether the numbers are actual or estimates | |
| 3.15 | Reputational impact | |
| 3.16 | Contextual information about the reputational impact | |
| 3.17 | Duration of the incident | |
| 3.18 | Service downtime | |
| 3.19 | Information whether the numbers for duration and service downtime are actual or estimates. | |
| 3.20 | Types of impact in the Member States | |
| 3.21 | Description of how the incident has an impact in other Member States | |
| 3.22 | Materiality thresholds for the classification criterion 'Data losses' | |
| 3.23 | Description of the data losses | |
| 3.24 | Materiality thresholds for the classification criterion 'Critical services affected' | |
| 3.25 | Comments to the classification criteria | |
| 3.26 | Type of the incident | |
| 3.27 | Threats and techniques used by the threat actor | |
| 3.28 | Other types of techniques | |
| 3.29 | Information about affected functional areas and business processes | |
| 3.30 | Affected infrastructure components supporting business processes | |
| 3.31 | Information about affected infrastructure components supporting business processes | |
| 3.32 | Communication to clients/financial counterparts | |
| 3.33 | Information about communication to clients/financial counterparts | |
| 3.34 | Reporting to other authorities | |
| 3.35 | Specification of 'other' authorities | |



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| Number of field | Data field | |
|------------------------------------|---|--|
| 3.36 | Temporary actions/measures taken or planned to be taken to recover from the incident | |
| 3.37 | Description of any temporary actions and measures taken or planned to be taken to recover from the incident | |
| 3.38 | Information on involvement of CSIRTs in dealing with the incident | |
| 3.39 | Information on involvement of CSIRTs in dealing with the incident | |
| 3.40 | Indicators of compromise | |
| 3.41 | Vulnerabilities exploited | |
| Content of the final report | | |
| 4.1 | Root causes of the incident | |
| 4.2 | Other types of root cause types | |
| 4.3 | Information about the root causes of the incident | |
| 4.4 | Information about inability to comply with legal requirements | |
| 4.5 | Information about breach of contractual arrangement/SLAs | |
| 4.6 | Description of the measures and actions taken for the permanent resolution of the incident | |
| 4.7 | Assessment of the effectiveness of the actions taken and lessons learnt | |
| 4.8 | Date and time when the incident was resolved and the root caused addressed | |
| 4.9 | Information if the permanent resolution date of the incidents differs from the initially planned implementation date | |
| 4.10 | Information relevant for resolution authorities | |
| 4.11 | Reclassification of the incident from major to non-major | |
| 4.12 | Reasons for the reclassification | |
| 4.13 | Materiality threshold for the classification criterion 'Economic impact' | |
| 4.14 | Amount of gross direct and indirect costs and losses | |
| 4.15 | Amount of expropriated funds or financial assets for which the financial entity is liable, including assets lost to theft | |



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| 4.16 | Amount of replacement or relocation costs of software, hardware or infrastructure | |
| 4.17 | Amount of staff costs, including costs associated to replacing or relocating staff, hiring extra staff, remuneration of overtime and recovering lost or impaired skills of staff | |
| 4.18 | Amount of fees due to non-compliance with contractual obligations | |
| 4.19 | Amount of customer redress and compensation costs | |
| 4.20 | Amount of losses due to forgone revenues | |
| 4.21 | Amount of costs associated with internal and external communication | |
| 4.22 | Amount of advisory costs, including costs associated with legal counselling, forensic and remediation services | |
| 4.23 | Amount of other costs and losses | |
| 4.24 | Amount of financial recoveries | |
| 4.25 | Details related to the economic impacts | |