**GUIDE**

# DORA – Incident reporting

FINANSINSPEKTIONEN

**17/03/2025**

Version 1.0

# CONTENT

# Requirements

A person who is going to submit incident reports and reports of significant cyber threats (rapporteur) needs to sign up for an account in the Reporting Portal and have authorisation delegated to their account by a company signatory.

Please refer to the guides for the Reporting Portal for more information.

The authorisation “DORA incident och cyberhot” is delegated to the rapporteur for the company that is submitting the report (“submitting entity”). If any other companies are affected by the incident (“affected entity”), they should be listed in the initial notification in fields 1.4, 1.5 and 1.6. However, the rapporteur does not need authorisation for these companies; only for the submitting entity.

In order to submit a report, the rapporteur must also have access to the inbox for the email address listed in the contact form when the report is submitted. Email notifications containing important information are sent automatically from FIDAC.

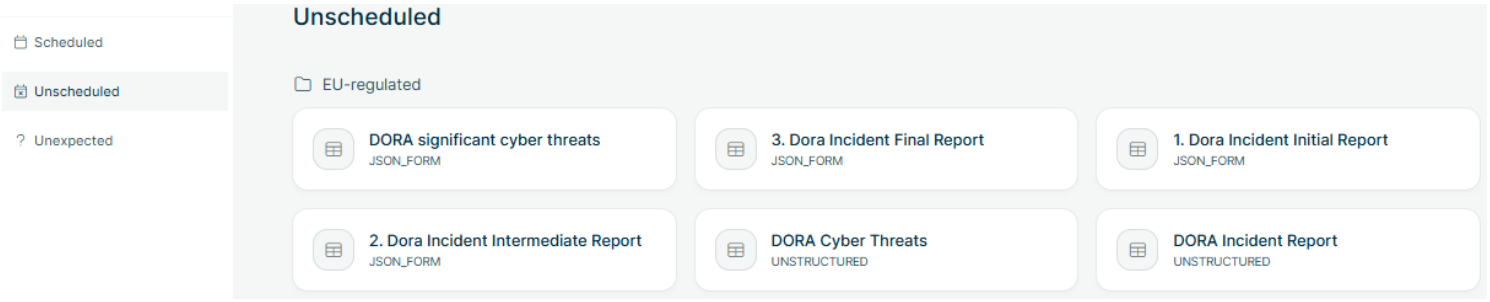
Please see the guide for FIDAC for more information.

# Report an incident

In FIDAC, the incident report pursuant to the DORA directive has been broken down into three reporting modules:

- **Dora_initial**
  This module should be submitted as soon as possible but within four hours after the incident was classified as major and no later than 24 hours after the company was made aware of the incident.
- **Dora_intermediate**
  This module should be submitted within 72 hours after the initial notification was submitted.
- **Dora_final**
  This module should be submitted within one month after the intermediate report was submitted.

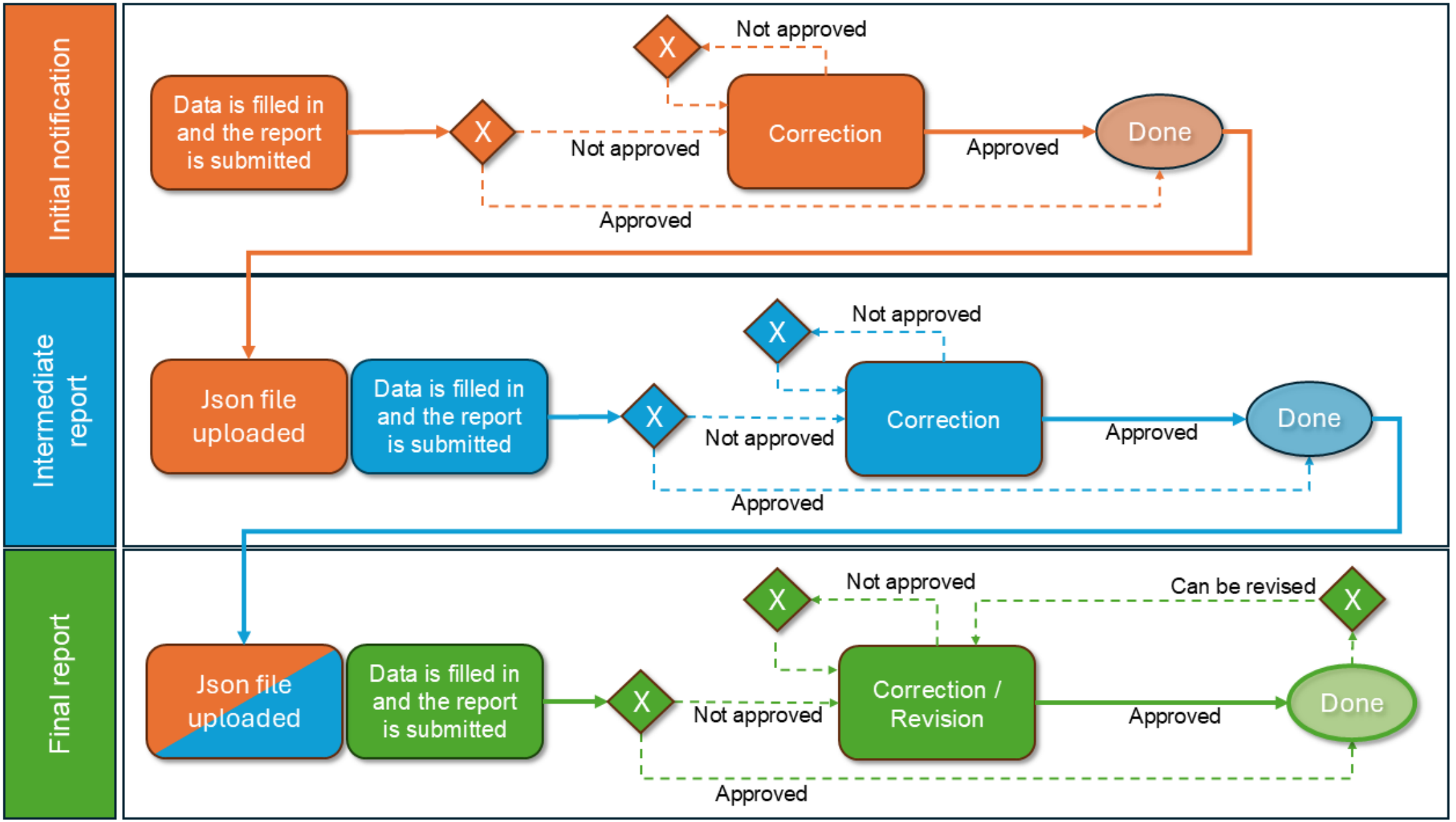
The reporting modules are broken down, named and numbered under “Unscheduled” in FIDAC’s menu; see the screenshot below.




To submit a new incident report, select “1. Dora Incident Initial Report” and then “Add New Report” in the top right corner. A form will then open.

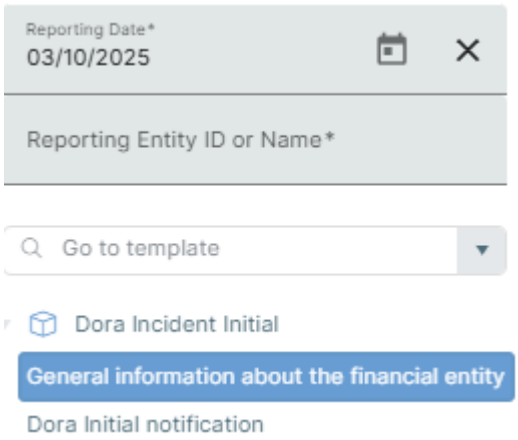
Please refer to the flowchart on the next page, which illustrates the reporting of all three incident modules.

# FLOWCHART FOR INCIDENT REPORTING

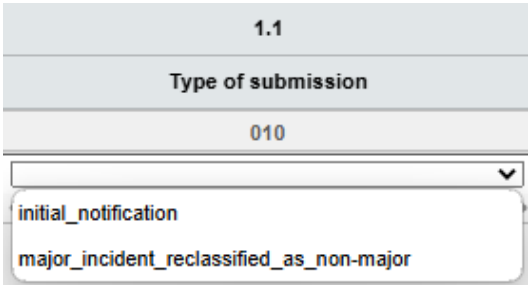


## INITIAL NOTIFICATION

After opening the form, click “Reporting Entity ID or Name” and select the company that will submit the report.

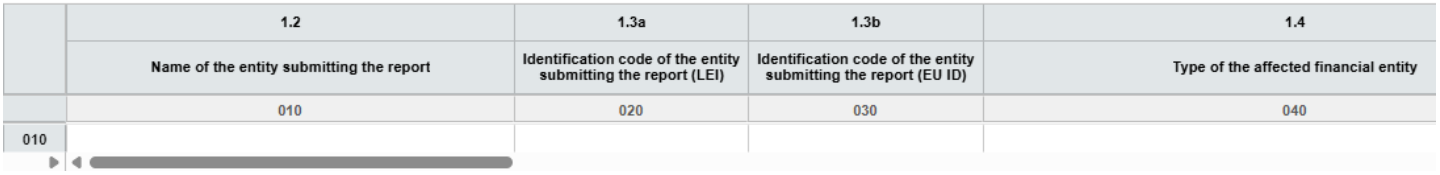



After selecting the company, enter the information into the form. Start by clicking “Type of submission” and selecting “initial_notification”.




“Major_incident_reclassified_as_non-major” should only selected after the initial_notification has been submitted and if the incident is no longer classified as major.

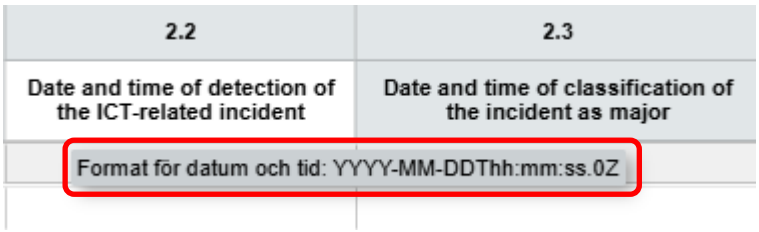
Continue by selecting “Dora Initial notification” from the menu.



| | 1.2 | 1.3a | 1.3b | 1.4 |
|---|---|---|---|---|
| | Name of the entity submitting the report | Identification code of the entity submitting the report (LEI) | Identification code of the entity submitting the report (EU ID) | Type of the affected financial entity |
| | 010 | 020 | 030 | 040 |
| 010 | | | | |

The layout of the form is based on ESMA’s Excel template. Fill in the form by scrolling to the right.

**Column information**
Some fields have additional information in their column header, for example how the date and time should be entered. Unfortunately, this information is only available in Swedish. Place the cursor on the column header to see the information in a pop-up:




The format for the date and time must follow the ISO standard and should be entered as follows: 2025-03-10T12:47:00.0Z

**Save and report**
Once the form is completed, click “Download” to save the report as a Json file. This file will be used in the next reporting module.


Finish by clicking “Preview” in the bottom right corner. If something is missing or has been entered incorrectly (schema validation), the fields in question will be marked in red. Correct the fields, click “Preview” again and then “Report”.


Enter the contact information and submit the report. The email address provided in this form will receive a notification containing information about the report and a unique reference code.


**The contact form is shown in the picture above, with the heading “Fill form”.**

**Email notification**
Once the report has been submitted, FIDAC will automatically send an email notification to the email address entered in the contact form. This email will specify whether the report has been approved or if there were any validation errors. It will also contain details about the submission.

The details of the report are shown in the below example.
It is important to save the reference code, which is marked in bold:

Details about the submission:

- Financial entity ID: 53970
- Financial entity name: Testinstitut 2
- Data collection: 1. Dora Incident Initial-rapport
- Module version: dora_initial_v1
- Submission ID: 2025-0319-4301-66a6
- Submission timestamp: 2025-03-19 15:38:50
- **Reference code: CAFIX0319430166a6**

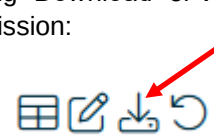
This reference code is used in the next two reporting modules to keep the reports (Initial, Intermediate and Final) together.

By using the reference code in the Intermediate and Final reports, the code will be included in the email notifications for these reports, which also helps keep the reports together. The reference code is also included in the subject line of the emails.

**Resume the report**
The downloaded Json file can also be used to resume submission of the report at a later point in time. If part of the report has been completed, save the Json file by clicking “Download” and then close the form. Later, open a new report and click “Upload”. The saved data will automatically be filled in and you can continue. Once the remaining fields are completed, submit the report.

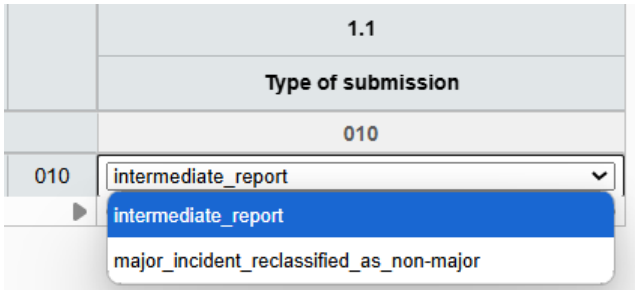
## INTERMEDIATE REPORT

Start by downloading the Json file from the initial notification, either by opening the form and clicking “Download” or via the symbol found at the far right of the row for submission:

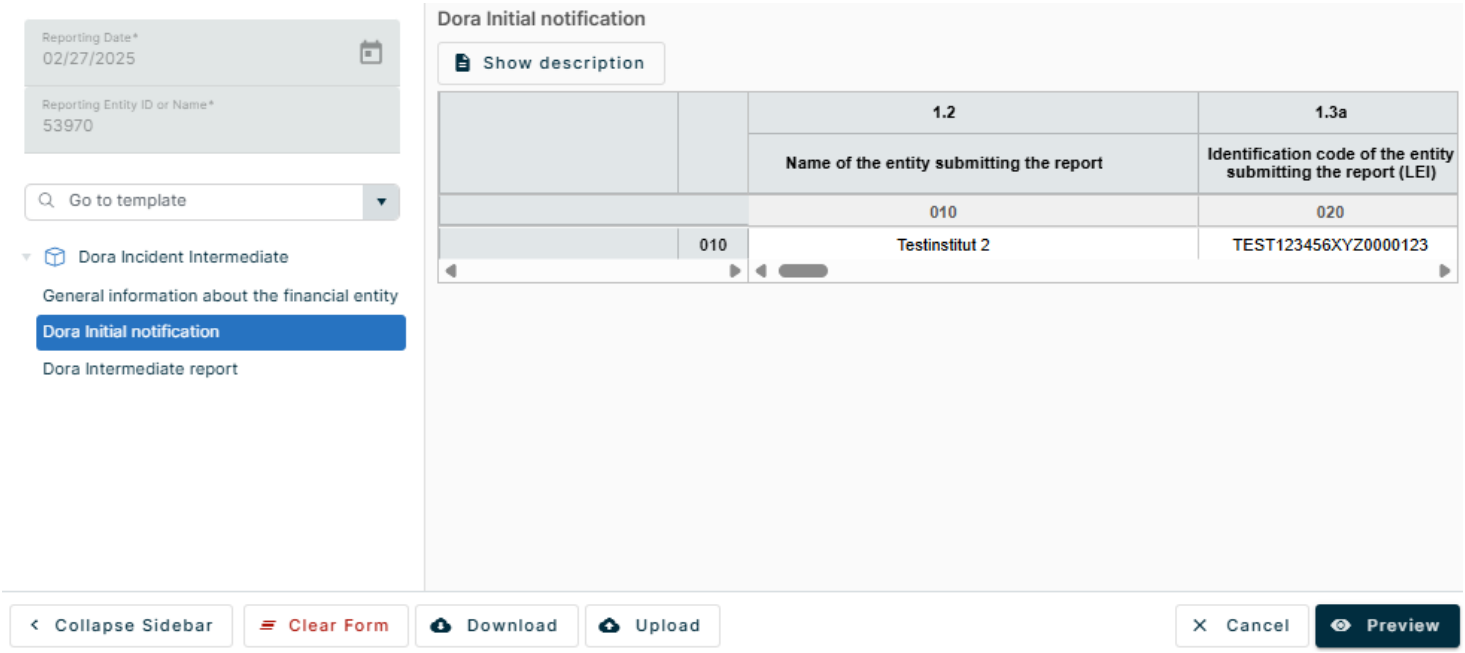


Then select the intermediate report option och click “Add New Report” to open the form. Click “Upload” in the form and select the Json file you previously downloaded.

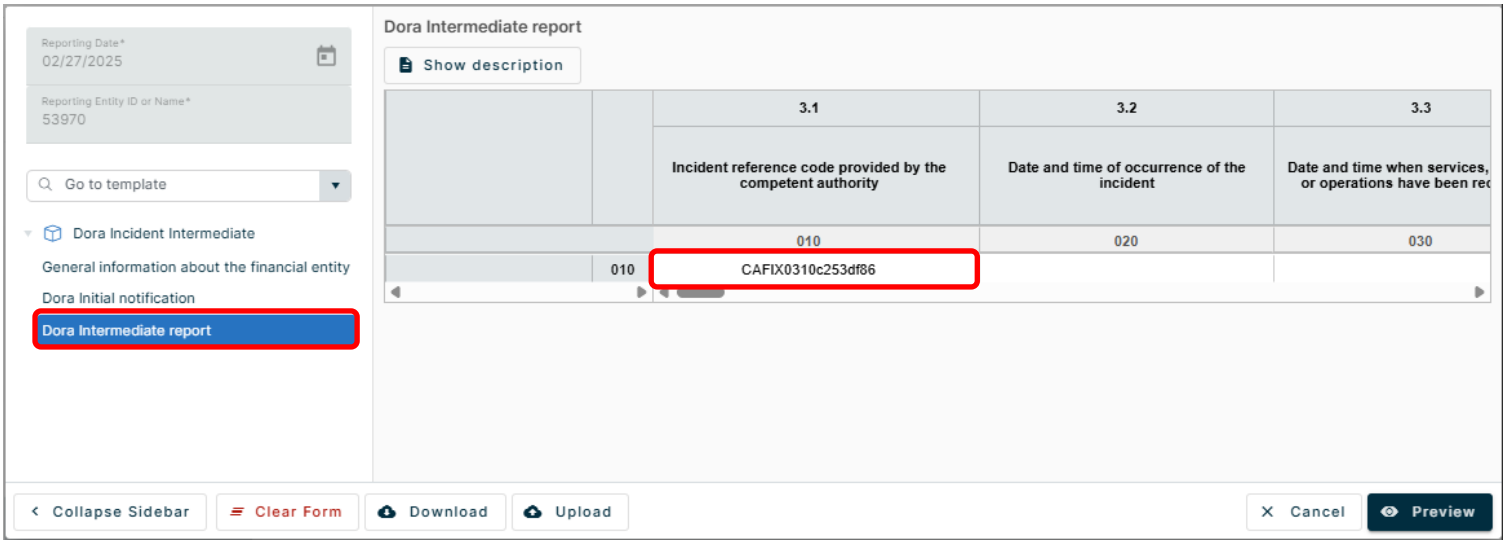

The data from the initial notification is entered into the form automatically, including the company that was selected then. Before entering data, change the value for field 1.1. “Type of submission” from “initial_notification” to “intermediate_report”:




If you select “Dora Initial notification”, the data from that submission will be shown. If any of this data needs to be amended, do so here.



**The reference code**
Select “Dora Intermediate report” to continue submission of the report. It is important that the reference code from the email notification is entered into field 3.1:




A validation rule will check to make sure that the entered reference code corresponds to the previous submission, i.e. the initial notification. The validation rule will be triggered after the intermediate report has been submitted if the reference codes do not match. If this happens, please check that the correct reference code has been entered and that there are no spaces in the field.

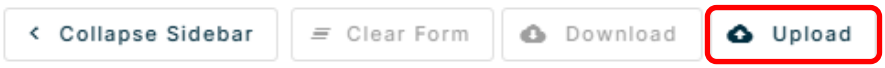
Complete the remaining fields for the intermediate report and click “Preview”. Then submit the report.

**Resume the report**
The downloaded Json file can also be used to resume submission of a report at a later point in time. If part of the report has been completed, save the Json file by clicking “Download” and then close the form. Later, open a new report and click “Upload”. The saved data will be filled in automatically, and you can continue. Once the remaining fields are completed, submit the report.

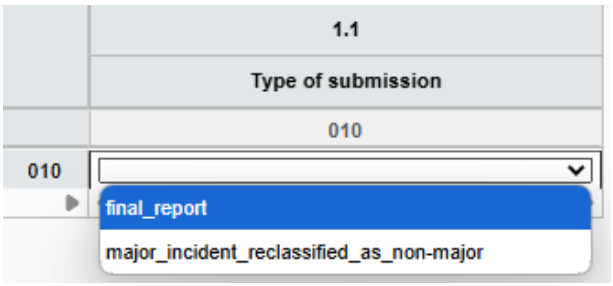
## FINAL REPORT

Start by downloading the Json file from the intermediate report either by opening the form and clicking “Download” or via the symbol found at the far right of the row for the submission:

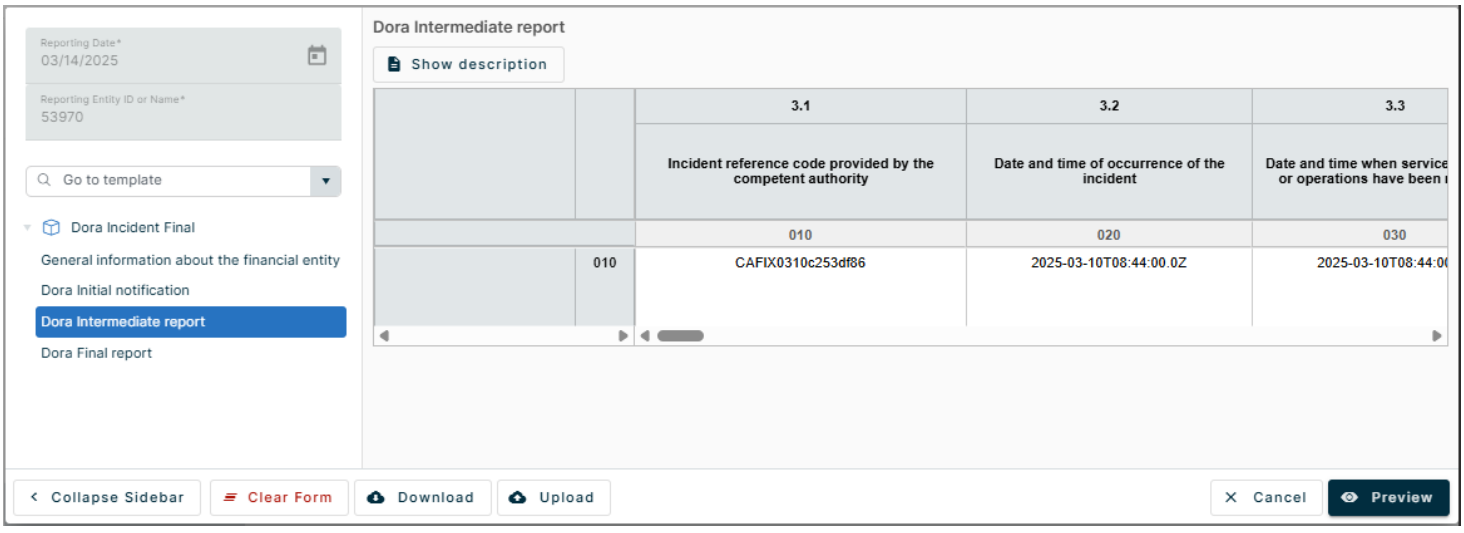
Then select the Final report option och click “Add New Report” to open the form. Click “Upload” in the form and select the Json file you previously downloaded.




The data from the initial notification and the intermediate report is automatically entered, including the company that was selected then. Before entering data, change the value for field 1.1. “Type of submission” from “intermediate_report” to “final_report”:




If you select “Dora Initial notification” or “Dora Intermediate report”, the data from those submissions will be shown. If any of this data needs to be amended, do so here.




Complete the remaining fields in the Final report, click “Preview”, and submit the report.

**Resume the report**

The downloaded Json file can also be used to resume the report at a later point in time. If part of the report has been completed, save the Json file by clicking “Download” and then close the form. Later, open a new report and click “Upload”. The saved data will entered automatically and you can continue. Once the remaining fields are completed, submit the report.

# Report Significant Cyber Threats

The report for significant cyber threats pursuant to the DORA directive is submitted via a separate reporting module in FIDAC. Select “Unscheduled” in FIDAC’s menu, then “Dora Significant Cyber Threats” and “Add New Report” in the top right corner to open the form.

The report consists of only one sheet. After opening the form, click “Reporting Entity ID or Name” and select the company that will submit the report. Data can now be entered into the fields.


Finish by clicking “Preview” in the bottom right corner. If something is missing or has been entered incorrectly (schema validation), the fields in question will be marked in red. Correct the fields, click “Preview” again and then “Report”. An email notification will be sent to the email address entered in the contact form.

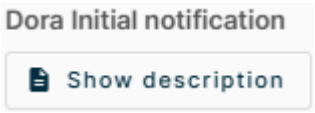
Unlike for the incident reports, there is no reference code for significant cyber threats since there is only one reporting module.

**Resume the report**
The downloaded Json file can also be used to resume the report at a later point in time. If part of the report has been completed, save the Json file by clicking “Download” and then close the form. Later, open a new report and click “Upload”. The saved data will be entered automatically and you can continue. Once the remaining fields are completed, submit the report.

# Useful tips

## SHEET DESCRIPTIONS

Some of the sheets in the reports include a description. The sheet description is found in the top left corner of the form:




The description refers to the report in full and contains specific details for the selected sheet. The example below describes how the submitted intermediate report can be uploaded to the final report and how the date and time should be entered in the fields for the sheet.

Unfortunately, this information is only available in Swedish.


## DATE AND TIME

The data and time must be entered in a specific format. The date consists of the year followed by the month and day, each separated by a hyphen. The date is then followed by a T. Time consists of hours, minutes and seconds, each separated by colon, and ends with a period. A zero and a Z (0Z) are then added. It looks like this:

YYYY-MM-DD T hh:mm:ss. 0Z

The fields with the date and time must follow this format. An example would look like this:

2025-03-10T09:42:00.0Z

The fields that only consist of time are simpler; the format is hours, minutes and seconds, seach eparated by a colon:

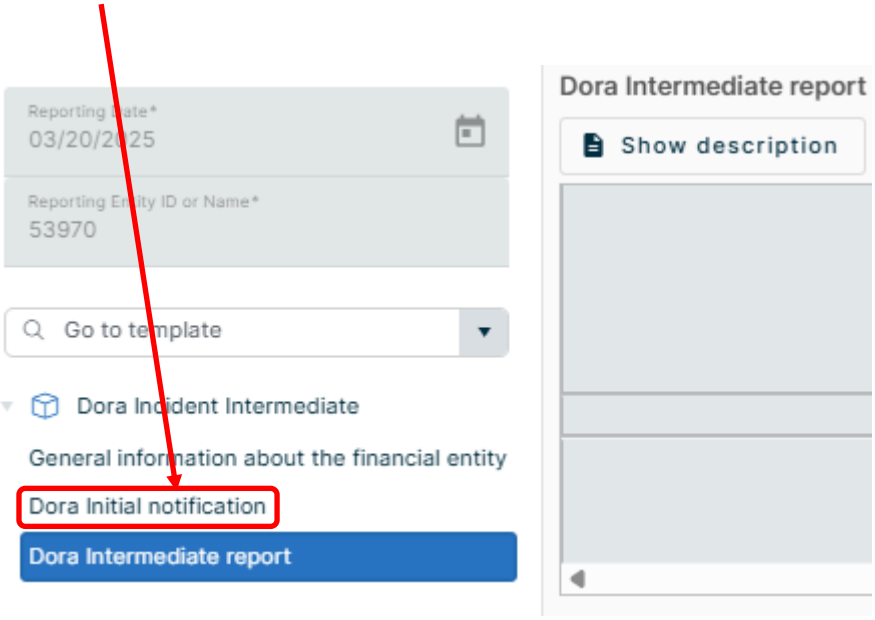
hh:mm:ss

No additional information is required. An example would look like this:

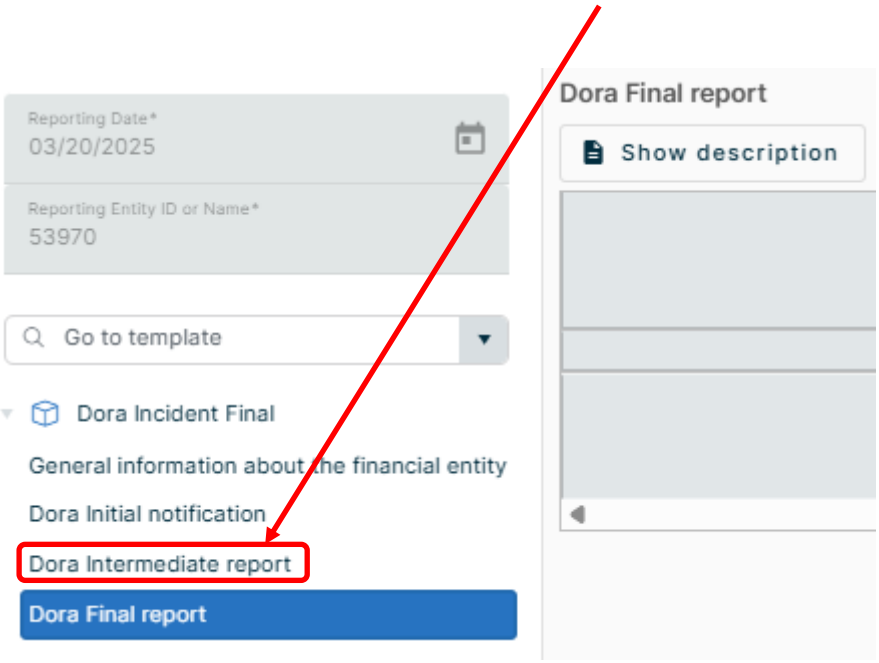
09:42:00

# Revise an incident

The procedure to revise an incident report is somewhat different than for other reports in FIDAC. If there is a need to revise an initial notification, this must be done in the sheet “Dora Initial notification” when submitting the intermediate report.




Similarly, if there is a need to revise the intermediate report, this must be done in the sheet “Dora Intermediate report” when submitting the final report.

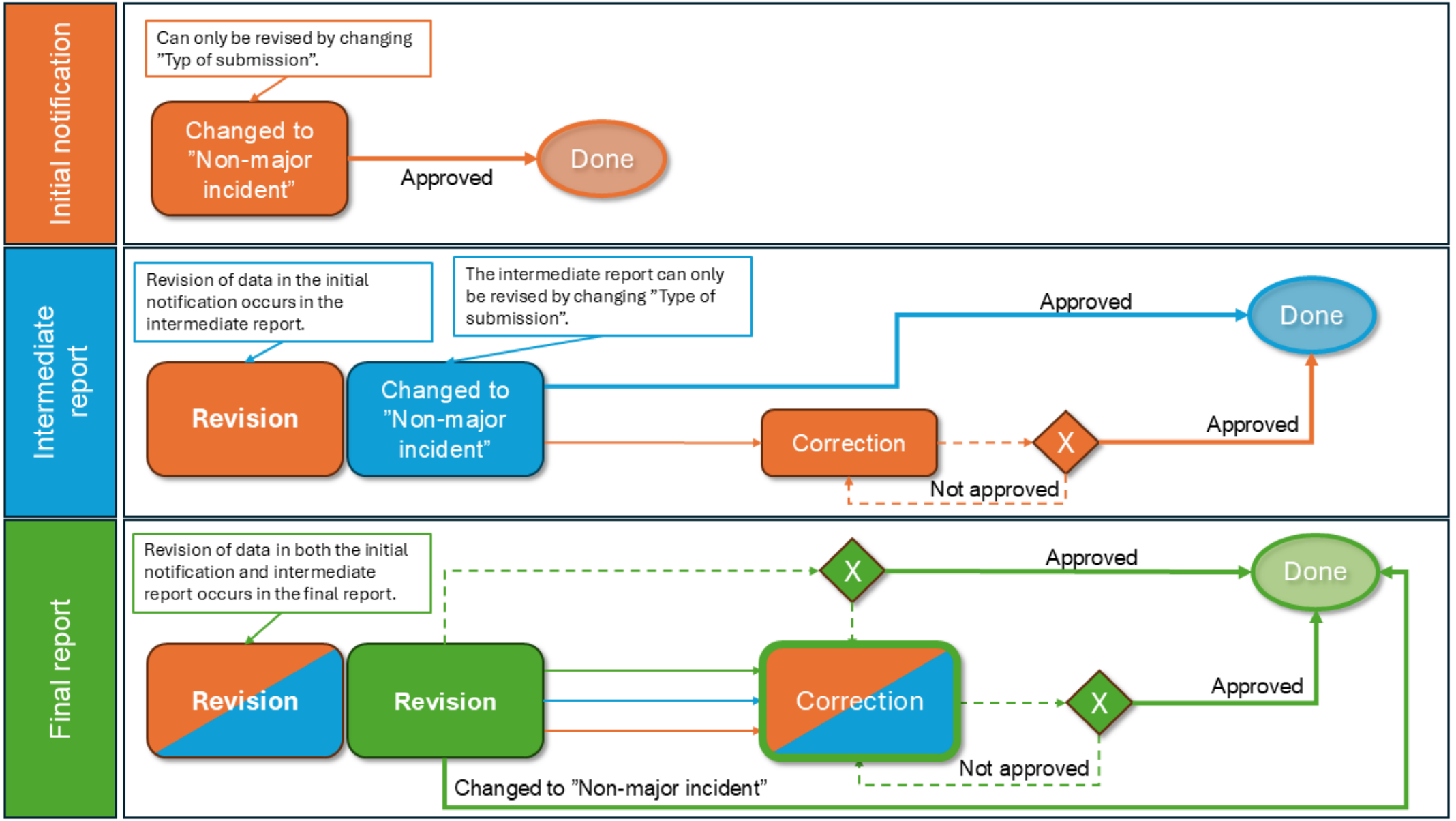



If there is a need to revise the intermediate report data, this is done in the final report. If there is a need to revise the data in both the initial notification and the intermediate report, this is done in the final report. If the initial notification data needs to be revised, this can be done either in the intermediate report (if it has not yet been submitted) or the final report. The final report can be revised without issue.

Another possibility for revising both the initial notification and the intermediate report is to reclassify them as “major_incident_reclassification_as_non-major” in field 1.1. However, reclassification should only be selected if the incident is no longer considered major.

Please see the flowchart on the next page, which illustrates revision of all three incident modules.

## FLOWCHART FOR REVISING A REPORT

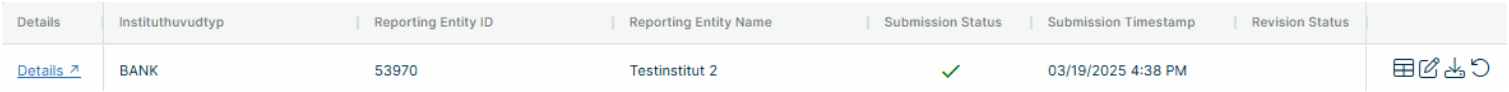


# Revoke an incident

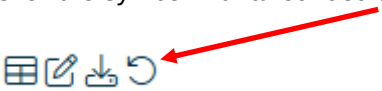
**Reclassification**
First and foremost, an incident should be reclassified as “non-major”. However, if reclassification is not a viable option, the incident can be revoked.

**Revocation**
If there has been a mistake, for example two different initial notifications were submitted for the same incident with the same data, one of them can be revoked.

To revoke a report, go to the symbol to the farthest right.



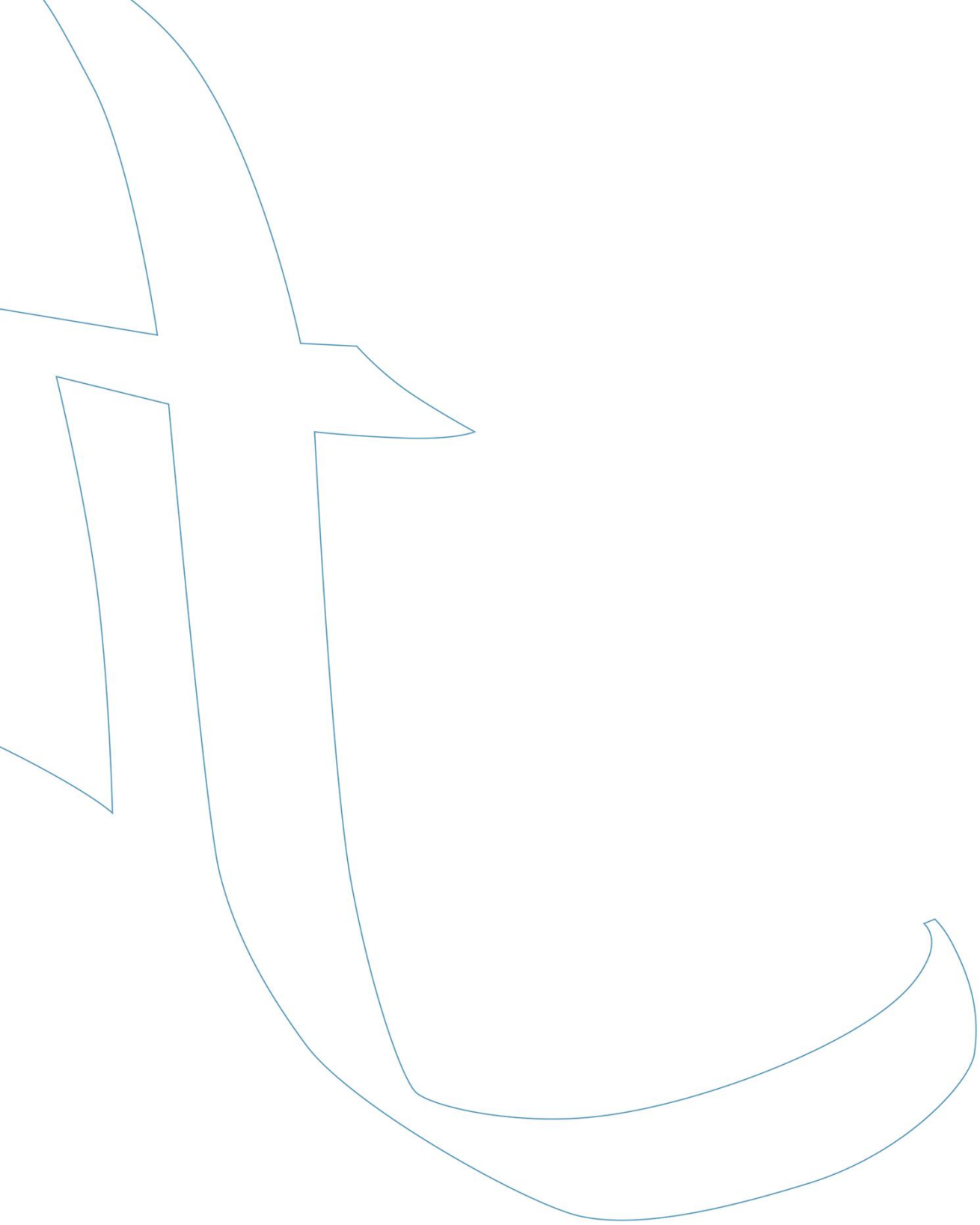

Click the symbol with a rounded arrow:



Enter the reason for revoking the report and click “Revoke”. The status symbol for the submission will change to “Processing”, then to “Approved”. The column “Revision Status” will now show “Revoked”, and an email notification will be sent to the email address entered when first submitting the report.

**Revision**
In the event that data is missing or needs to be corrected or updated, this should be done by revising the report, not revoking it. Please see the previous chapter.

For questions about this guide, please contact reporting@fi.se



Finansinspektionen
Box 7821, 103 97 Stockholm
Besöksadress Brunnsgatan 3
Telefon +46 8 408 980 00
Fax +48 8 24 13 35
finansinspektionen@fi.se

**www.fi.se**