



GUIDE

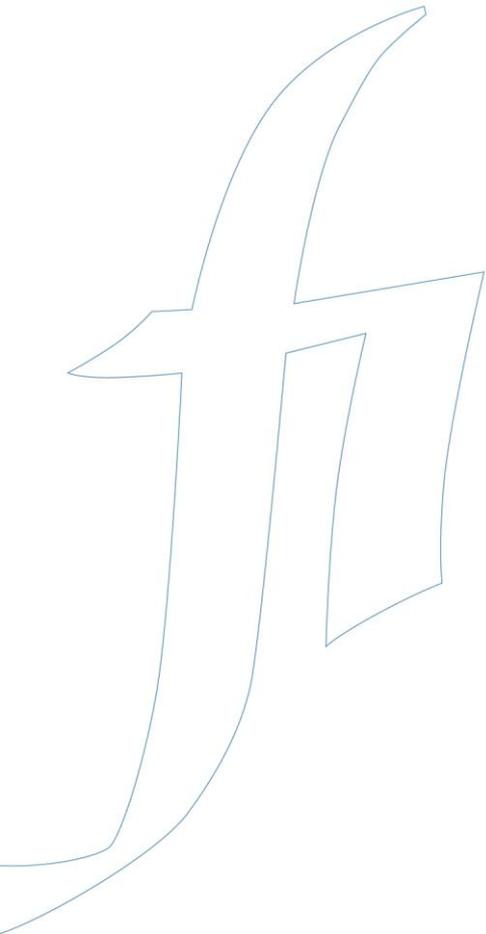
DORA – Incident reporting

FINANSINSPEKTIONEN

09/04/2025

Version 1.1





CONTENT

Requirements	3
Report an incident	4
Flowchart for incident reporting	5
Initial notification	6
Intermediate report	9
Final report	11
Report Significant Cyber Threats	12
Useful tips	13
Sheet descriptions	13
Date and time	13
Revise an incident	15
Flowchart for revising a report	17
Revoke an incident	18

Requirements

A person who is going to submit incident reports and reports of significant cyber threats needs to register an account in the Reporting Portal and have authorisation delegated to their account from a registered signatory of the company.

Please see the [guides for the Reporting Portal](#) for more information.

The authorisation "DORA incident och cyberhot" is delegated to the user, for the company that is submitting the report ("submitting entity"). If there are any other companies affected by the incident ("affected entity"), no authorisation is necessary, only for the submitting company. However, affected companies should be entered into field 1.4, 1.5 and 1.6.

Submitting a report also requires access to the inbox for the email address entered in the contact form. This is to have access to the email notification containing important information, automatically sent from FIDAC.

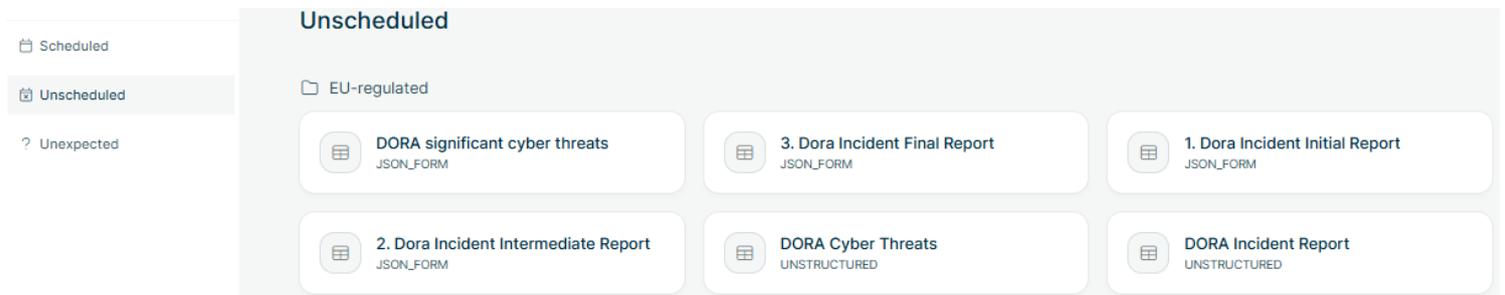
Please see the [guide for FIDAC](#) for more information.

Report an incident

The incident report according to the DORA directive is divided in three separate reporting modules in FIDAC:

- **Dora_initial**
The module should be submitted as soon as possible but within 4 hours after the incident has been classified as major, and 24 hours at the latest after the company was made aware of the incident.
- **Dora_intermediate**
The module should be submitted within 72 hours after the initial report was submitted.
- **Dora_final**
The module should be submitted within one month after the intermediate report was submitted.

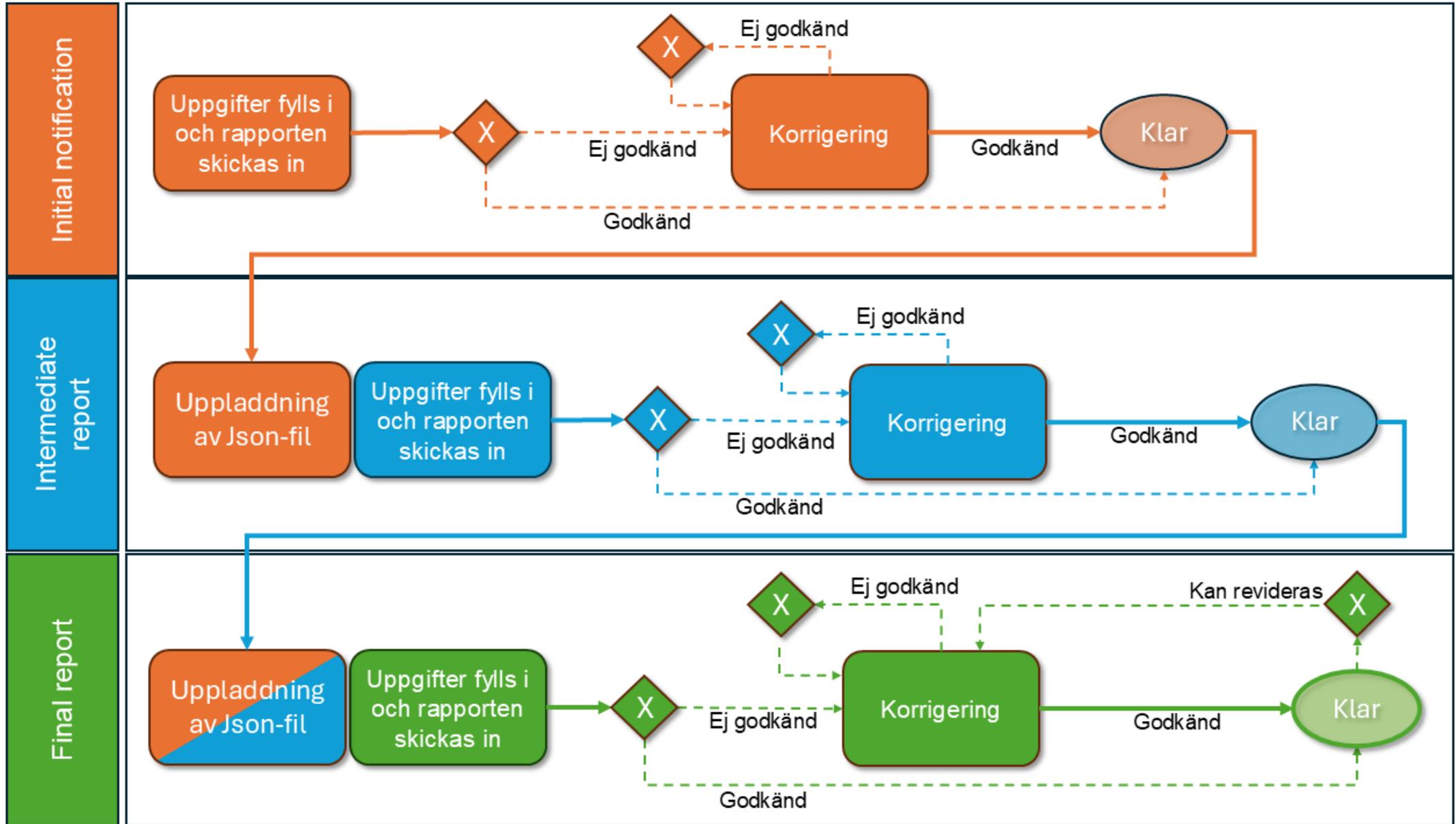
The reporting modules are divided, named and numbered via "Unscheduled" in the menu in FIDAC, like the below screenshot.



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 see the flowchart on the next page, illustrating reporting of all three incident modules.

FLOWCHART FOR INCIDENT REPORTING



INITIAL NOTIFICATION

Once the form has opened , click "Reporting Entity ID or Name" and select the company submitting the report.

When a company has been selected, you will be able to enter information into the form. Start by clicking "Type of submission" and select "initial_notification".

"Major_incident_reclassified_as_non-major" is 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" in 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 forms appearance is based on the Excel template from ESMA. Complete the form by scrolling to the right.

Column information

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

2.2	2.3
Date and time of detection of the ICT-related incident	Date and time of classification of the incident as major
Format för datum och tid: YYYY-MM-DDThh:mm:ss.OZ	

The format for date and time have to follow the ISO-standard and is written for example like this: 2025-03-10T12:47:00.OZ

Save and report

Once the report is completed, click "Download" to save the report as a Json file which will be reused for the next reporting module.



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



Enter the contact information and submit the report. The entered email address will receive an email notification which contain information about the report and a unique reference code.

Fill Form

Namn*

Phone number*

Email address*

Email notification

When the report has been submitted, an email notification will automatically be sent from FIDAC, to the email address entered in the contact form. The email contain information about the report was approved or encountered any validation errors, and details about the submission.

The details of the report is shown in the below example.
It is important to save the reference code, 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**

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

When the reference code is used in the Intermediate and Final reports, the same reference code will be included in the email notifications for those reports. När referenskoden sedan används i Intermediate och Final kommer samma kod inkluderas i de mejlnotifieringarna, också för att enklare hålla ihop rapporterna. In addition, the reference code is also included in the subject line of the email.

Resume the report

The downloaded Json file can also be used to resume the report at a later time. If the report has been partially finished, save the Json file by clicking "Download" and then close the form. At a later time, start 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 click "Download", or via the symbol which is available to the far right of the row for the submission:



Then select the Intermediate report and click "Add New Report" to open the form. Click "Upload" in the form and select the Json file you previously downloaded.



The form is automatically filled with the data from the Initial notification, including the selected company. Before you start entering data, you must change the value for field 1.1. "Type of submission", from "initial_notification" to "intermediate_report":

	1.1
	Type of submission
	010
010	<input type="text" value="intermediate_report"/> <ul style="list-style-type: none"> <li style="background-color: #007bff; color: white; padding: 2px;">intermediate_report <li style="padding: 2px;">major_incident_reclassified_as_non-major

If you select "Dora Initial report", the data from that submission will be available. If any data needs to be amended, go ahead and do so here.

Reporting Date*
02/27/2025

Reporting Entity ID or Name*
53970

Go to template

Dora Incident Intermediate
 General information about the financial entity
 Dora Initial notification
 Dora Intermediate report

Dora Initial notification

Show description

	1.2	1.3a
	Name of the entity submitting the report	Identification code of the entity submitting the report (LEI)
	010	020
	010 Testinstitut 2	TEST123456XYZ0000123

< Collapse Sidebar
≡ Clear Form
Download
Upload
X Cancel
Preview

The reference code

Select "Dora Intermediate report" to continue the reporting. It is important that the reference code, from the email notification, is entered in field 3.1:

Reporting Date*
02/27/2025

Reporting Entity ID or Name*
53970

Go to template

Dora Incident Intermediate

General information about the financial entity

Dora Initial notification

Dora Intermediate report

Dora Intermediate report

Show description

	3.1	3.2	3.3
	Incident reference code provided by the competent authority	Date and time of occurrence of the incident	Date and time when services, or operations have been rec
	010	020	030
	CAFIX0310c253df86		

< Collapse Sidebar
Clear Form
Download
Upload
X Cancel
Preview

A validation rule will check to make sure that the entered reference code is corresponding to the previous submission Initial notification. The validation rule will be triggered after the Intermediate report has been submitted, if the entered reference code is not correct. If that happens, please make sure that the correct reference code has been entered and that there is no space included in the field.

Complete the rest of the fields for the Intermediate report, click "Preview" and then submit the report.

Resume the report

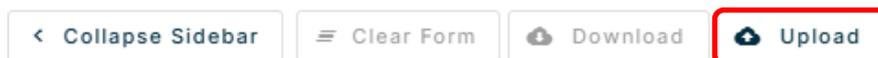
The downloaded Json file can also be used to resume the report at a later time. If the report has been partially finished, save the Json file by clicking "Download" and then close the form. At a later time, start a new report and click "Upload", the saved data will automatically be filled in and you can continue. Once the remaining fields are completed, submit the report.

FINAL REPORT

Start by downloading the Json file from the Intermediate report, either by opening the form and click "Download", or via the symbol which is available to the far right of the row for the submission:



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



The form is automatically filled with the data from the Initial notification and Intermediate report, including the selected company. Before you start entering data, you must change the value for field 1.1. "Type of submission", from "intermediate_report" to "final_report":

	1.1
	Type of submission
	010
010	<input type="text" value="010"/> <ul style="list-style-type: none"> final_report major_incident_reclassified_as_non-major

If you select "Dora Initial report" or "Dora Intermediate report", the data from those submissions will be available. If any data needs to be amended, go ahead and do so here.

Reporting Date*
03/14/2025

Reporting Entity ID or Name*
53970

Go to template

- Dora Incident Final
- General information about the financial entity
- Dora Initial notification
- Dora Intermediate report**
- Dora Final report

Dora Intermediate report

Show description

	3.1	3.2	3.3
	Incident reference code provided by the competent authority	Date and time of occurrence of the incident	Date and time when service or operations have been
	010	020	030
	CAFIX0310c253df86	2025-03-10T08:44:00.0Z	2025-03-10T08:44:00.0Z

Collapse Sidebar

Clear Form

Download

Upload

Cancel

Preview

Complete the rest of the fields for the Final report, click "Preview" and then submit the report.

Resume the report

The downloaded Json file can also be used to resume the report at a later time. If the report has been partially finished, save the Json file by clicking "Download" and then close the form. At a later time, start 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.

Report Significant Cyber Threats

The report for Significant Cyber Threats according to the DORA directive is submitted in a separate reporting module in FIDAC. Select "Unscheduled" in the menu in FIDAC, select "Dora Significant Cyber Threats" and click "Add New Report" in the top right corner to open the form.

The report itself is only one sheet. Once the form has opened, click "Reporting Entity ID or Name" and select the company submitting the report. Data can now be entered into the fields.

Significant Cyber Threats report

Show description

	1	2a	2b
	Name of the entity submitting the notification	Identification code of the entity submitting the notification (LEI)	Identification code of the entity submitting the notification (ID)
	010	020	030

010

< Collapse Sidebar Clear Form Download Upload X Cancel Preview

Finish by clicking "Preview" in the bottom right corner. If something is missing or has been incorrectly entered (schema validation), those fields 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 the incident reports, there is no reference code used for Significant Cyber Threats since it is only one single reporting module.

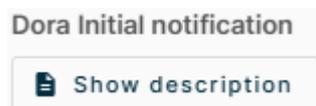
Resume the report

The downloaded Json file can also be used to resume the report at a later time. If the report has been partially finished, save the Json file by clicking "Download" and then close the form. At a later time, start 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.

Useful tips

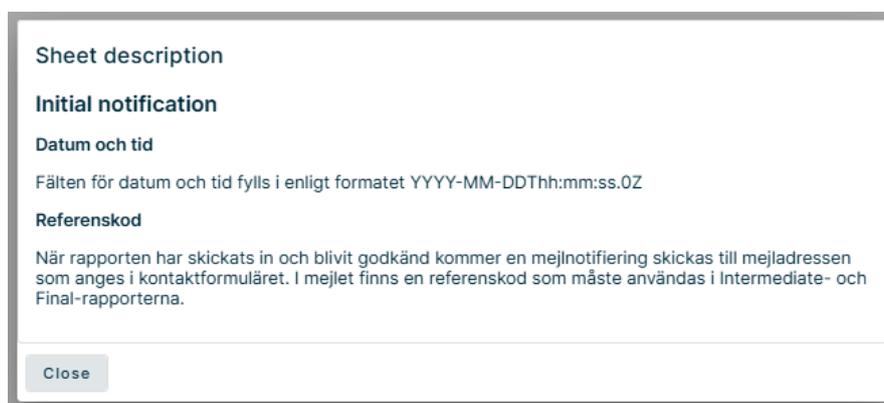
SHEET DESCRIPTIONS

For each report, there is a description available in certain sheets, accessible in the top left corner of the form:



The description is intended for the whole report, with specific details for the selected sheet. In the below example, it is described how the submitted Intermediate report can be used to be uploaded to the form for the Final report, along with a specific description of how date and time should be entered in the fields for the sheet.

Unfortunately, the information is only available in Swedish.



DATE AND TIME

The format for date and time is quite specific. Date consists of year, month and day which are separated with a hyphen, followed by a T. Time consists of hours, minutes and seconds, which are separated by colon, followed by a dot and then OZ (a zero and Z). Broken down it looks like this:

YYYY-MM-DD T hh:mm:ss. OZ

Fields with date and time have to follow this format. An example could look like this:

2025-03-10T09:42:00.OZ

UTC

OZ means "zero offset" and is referencing UTC (Coordinated Universal Time). This means that time is according to timezone 0, which means that the time for an incident should subtract one hour for wintertime (Sweden, UTC +1) and two hours for daylight-saving time (Sweden, UTC +2). If the incident originated in another country than Sweden, find out the time zone for that country (according to UTC) and subtract or add hours accordingly. An example:

Time of incident:	09:42:00
Time of incident according to UTC (wintertime):	08:42:00
Time of incident according to UTC (daylight-saving time):	07:42:00

Fields consisting of only time are simpler, the format is days, hours and minutes, separated by colon:

DD:HH:MM

Nothing more is needed. Hours can be entered up to 23 and minutes up to 59, a day is represented by initial an 01. An example could look like this:

01:23:59

Revise an incident

The procedure to revise an incident report is somewhat different than for other reports in FIDAC. If there is need to revise an Initial report, then it have to be done when submitting the Intermediate report, in sheet “Dora Initial report”.

The screenshot shows the 'Dora Incident Intermediate' section. It includes a 'Reporting Date*' field with the value '03/20/2025' and a 'Reporting Entity ID or Name*' field with the value '53970'. Below these fields is a search bar labeled 'Go to template'. Underneath, there is a dropdown menu for 'Dora Incident Intermediate' with the subtitle 'General information about the financial entity'. Two options are listed: 'Dora Initial notification' (highlighted with a red box) and 'Dora Intermediate report' (highlighted with a blue box). To the right, a preview of the 'Dora Intermediate report' is visible, featuring a 'Show description' button and a scrollable content area.

In the same way, if the Intermediate report have to be revised, it is done when submitting the Final report, in sheet “Dora Intermediate report”.

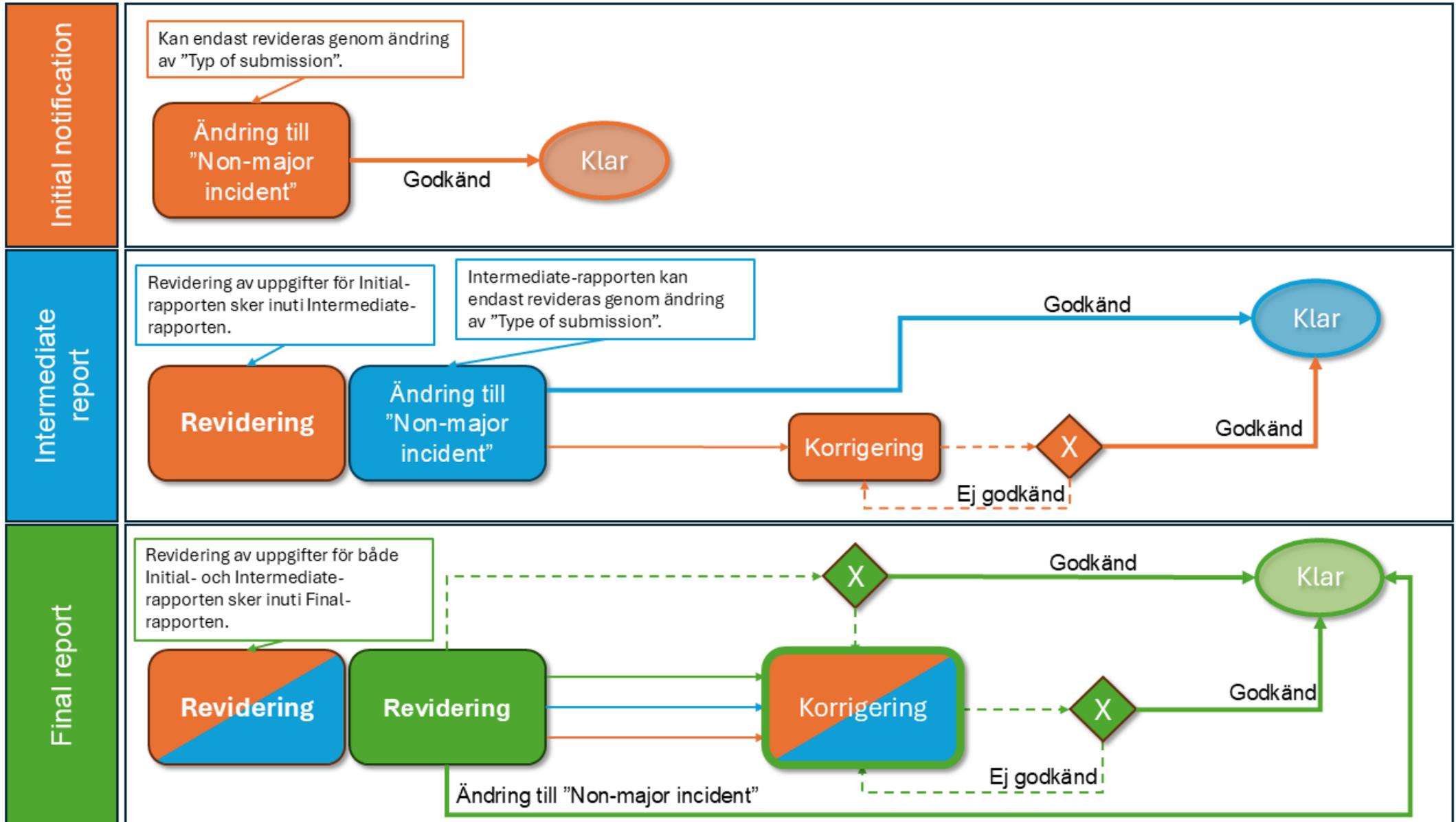
The screenshot shows the 'Dora Incident Final' section. It includes a 'Reporting Date*' field with the value '03/20/2025' and a 'Reporting Entity ID or Name*' field with the value '53970'. Below these fields is a search bar labeled 'Go to template'. Underneath, there is a dropdown menu for 'Dora Incident Final' with the subtitle 'General information about the financial entity'. Three options are listed: 'Dora Initial notification', 'Dora Intermediate report' (highlighted with a red box), and 'Dora Final report' (highlighted with a blue box). To the right, a preview of the 'Dora Final report' is visible, featuring a 'Show description' button and a scrollable content area.

If the Intermediate report data needs to be revised, it is done in the Final report. If the data for both the Initial and Intermediate reports have to be revised, it is done in the Final. If the Initial report data needs to be revised, it can either be done in the Intermediate report (if it has not yet been submitted) or in the Final report. The Final report can be revised without issue.

There is however one possibility to revise both the Initial and Intermediate reports directly, and that is by reclassifying them as "major_incident_reclassification_as_non-major", in field 1.1. Reclassification should only be selected if the incident no longer is considered as major.

Please see the flowchart on the next page, illustrating 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, is reclassification is not a viable option, then the incident can be deleted.

Revocation

If a mistake for example has been made, such as the same incident has been submitted in two different Initial notifications with the same data, then one of them can be revoked.

The För den rapport som ska makuleras, gå till symbolerna längst till höger på raden.

Details	Instituthuvudtyp	Reporting Entity ID	Reporting Entity Name	Submission Status	Submission Timestamp	Revision Status	
Details ↗	BANK	53970	Testinstitut 2	✓	03/19/2025 4:38 PM		☰ ✎ ⬇️ ↻

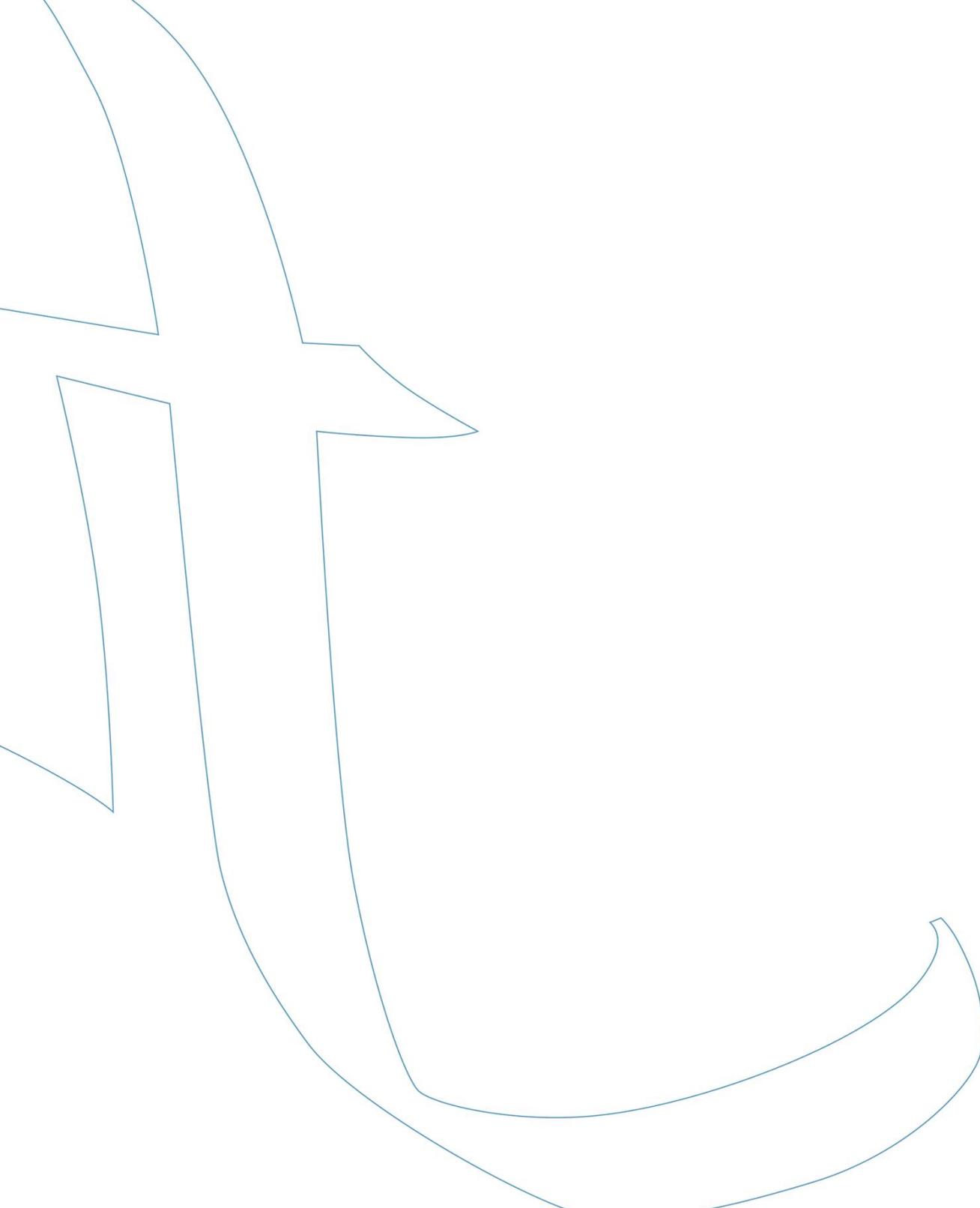
Click the symbol with a rounded arrow:



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

Revising

In case some data was missed to be entered or if some data needs to be corrected or updated, it should be done by revising the report and not revoking it. Please see the previous chapter.



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