

Banc Ceannais na hÉireann Central Bank of Ireland

Eurosystem

# Guide to submitting PSD2 Major incident reports on the Central Bank of Ireland Portal

September 2023

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## 1. Introduction

This guide is for users who are uploading major operational or security incident reports to the Central Bank of Ireland via the Central Bank of Ireland Portal (the 'Portal'). The document will outline the process for Excel file uploads as well as the Finalising and Sign-Off of reports.

Entities must use the reporting template provided on the Central Bank of Ireland's website, found in the 'Major Incident Reporting' section. Older versions of the template cannot be used. The structure and formatting of the template must not be altered.

The reports require a sign-off from an authorised second user. It is the responsibility of the Firm Administrator/Prudential Return contact, to manage user access to the reports referred to in this guide.

For users not familiar with the Portal system, information about the Portal and related guidance documents are available on the Central Bank website at this address:

https://www.centralbank.ie/regulation/central-bank-portal

Screenshots and accompanying text will describe scenarios when the file upload has been both successful and unsuccessful. The information contained in this document applies for all Payment Service Providers (PSPs).

## 2. Incident Reports screen

To submit a **major operational or security incident report** ('major incident report'), the user will log-on to the Portal system with their user details and should navigate to the **'Returns'** section:

Banc Cent Eurosy	c Ceannais na hÉireann trai Bank of Ireland yssem				
		CBI0005	0001 International Sr	nall Co	mpanies Equity Fund
f Home	<		Payment Services	Code	Description
🚊 Institu	ution Details <		Article 36 Denial of Service	A36	Notification of refusal or withdrawal of access to navment account services - Article 36
👤 My Ins	stitution Profile 🔨		Article 68 Denial of Service	A68	Notication of denial of access to payment accounts to providers of account information
Pendin	ng Actions 🗸				services or payment initiation services - Article 68
🗐 Portal.	Administration K		Debt Management Firm	DMF	Debt Management Firm
🗁 Return	ns 🗸		E-Money Institution Accounts	EMR	E-Money Institution Accounts
— View	v / Edit Returns		E-Money Institution Supplementary	EMS	E-Money Institution Supplementary
	NI-1/61/		Major operational or security incident report	OIR	Details of a major operational or security incident.
Mana	agenotifications		Operational and Security Risks Reporting	A95	Detail of the Operational and Security Risks at the reporting institution
Minir Requ	imum Reserve Deposit uirements		Payment Institutions Supplementary	PAY	Payment Institutions Supplementary
Help	c <		Payment Institutions Supplementary (Bi-Annual)	PYB	Payment Institutions Supplementary (Bi-Annual)

OIR

Details of a major operational or security incident.

Select 'Major operational or security incident report':

Major operational or security incident report





## 3. Initial incident report

This report is required to be submitted to the Central Bank when a major operational or security incident is first detected and categorised as major<sup>1</sup>.

### 3.1 Create new instance

This screen will show a record of any/all previous incidents that have been reported to date for your firm. For a new incident, the user will need to create a new instance to capture the new report.

To create a new instance for an incident, click on 'Add Return':

	Banc Ceannais na hÉireann Central Bank of Ireland Isourann														
			CBI0005	000	01 In	terna	ationa	al Sma	II C	om	par	nie	s	Equ	uity Fund
•	Home	<	Homa + Raturn Type:												
•	Institution Details	<	Major operational or s	ecurity in	cident inport	Returns									
1	My Institution Profile	<	Major operation	or operational or security incident report Returns									Returns		
0	Pending Actions	<	Reporting Date	Berine	an Status	Beeset.Type	Subminister Dare Date	Land Upstaland	Last						This page shows all the Major
-	Fitness and Probity	<	18.00a-2020 CS8001 PEDRIC 2	1	Law Street	instantial in	15-Aug 2020	Hady select second	2820 1477 bits		3	N.	x	10	operational or security incident report returns entered by your institution
•	Mescages	0.4	18 Mar 2020 550011 PEDing, 2	4	family.	tion result	11.104.2020	Halfy administration	2829			N	x	a.	
G	Request Charge	<	24.00x 2020 550801_F100nC_3	1	Features	Initial report	31.Man 2920	Gant Rocke	04-5ep- 2822 (11:55)	2		2	×	1	which need to be completed and submitted to the Central
	Portal Administration	<	Colori, Filonic, 1	4	land's	Final sport	21746	Rate Anama	2026		3	N	×	×.	Bank .
-	Returns		Children 2022 Children Hildren 1	4	liqued of	rand.	100.7 mil-	Date Annual	2004			Ð	×		If you need to make a change to a previously submitted
	View / Edit Reform		100017950nc.1	1	figed24	tilla report	101.716-	Hale Alternet	2020		9	20	×	-	return, contact the Central Bank to get the return unlocked.
	Minimum Reserve Deposit										-			/	

#### The following screen will appear:

	Banc Ceannais na hÉireann Central Bank of Ireland Eurosystem		
<b>↑</b>	Home <	CBI00050001 International Small Companies Eq	uity Fund
\$	Institution Details <	Major operational or security incident report Returns > Add	
	My Institution Profile <	Add Return Instance	Add Return Instance
•	Pending Actions <	Reporting Date:	To create a new (unscheduled)
1	Fitness and Probity <		return for this institution, enter the required details and click the 'Add' button
×	Messages 7 <		Select today's date as the
ø	Request Change <		'Reporting Date' and tomorrow's date as the
	Portal Administration <		Submission Due Date".
=	Returns 🗸	Add <u>Cancel</u>	
	View / Edit Returns		

For 'Reporting Date', add the date for when the incident was categorised as 'major'.

<sup>&</sup>lt;sup>1</sup> In accordance with Article 96 of Directive (EU) 2015/2366.

In the '**Submission Due Date'** field, add any <u>future date</u>. This will not have any impact on the reporting, but it is a feature of the Portal system that a due date is entered.

In this example, an Initial incident report is being raised for 6<sup>th</sup> September 2023.



Click on 'Add'. This will create the instance for the reporting date you entered.

If you go back to the Returns screen, you will see this instance is now added.

### 3.2 Upload Initial incident report

Click on instance date:

	Banc Coannais na hÉireann Central Bank of Ireland														
			CBI0005	000	01 In	terna	ationa	al Sma	all Co	om	par	nie	es	Equ	uity Fund
	Institution Partols		Hume + Return Types												
	My Institution Profile	<	Major operational or s	hal or s	security	incident r	eport Ret	urns							Returns
	Pending Actions	<	-	Revisi	on Status	Brost Tree	Inferences on	Lest Westered	Last.	1					This page shows all the Major
-	Filmens and Probits	<	16-5ep-2023	,	Back		\$4-0x8-2825	Saint Bright	96-5ep- 2923 /18.110	а	J	8	×	*	operational or security incident report returns entered by your
	Messages	0 <	Closer Filling 2	1	lugard 2	International Action		Auto alle, juncture	10.78		J	2	×	-	Passoon.
G	Request Change	<	States 2020 Coloris Patrice, 2	1	Suprist.T	table report	11.5pr.203	100	10. Marcola 10.2020		IJ	30	×	10	There are outstanding returns which need to be completed and submitted to the Central
	Portal Administration	e	California California a	1	Finalised	Initial report	31.8Aa- 2020	Gave Roche	06-5ep- 2022 (11.95)	а		39	×	*	Bank
	1994100		23.000 P30MC_1		I good of	Cast agent	01.0-m	Party Income	10.000			8	×	3	If you need to make a change to a previously submitted
	Notes to	Ť	Childra 2020	1	Squad	A descent fields		Party Income	TRUE		3	39	×	14	return, contact the Central Bank to get the return
	View / Edit Returns		Calific 2020	1	(spectral property)	with a largest	194.8 pm 2028	thinks said, particular	15.00m		3	20	×	10	UNICOME.
	Minimum Reserve Deposit Requirmments		There was a state of the second									ANC	eters.		

Click into the Incident Report

6	Base Countraits ma MÉrovann Countrai Bank of Iroland Newcomm				n fallen bere andere							
	CBI00050001 International Small Companies Equ											ity Fund
•	Hone	<ul> <li>Hume - Raturn Typez.</li> </ul>										
=	Institution Details	< Major operational o	r security inci	ident report. I	Returns a Di	Sep-2023						
1	My Institution Profile	< Major operati	onal or se	ecurity in	ncident re	port, 06-Sep-2	023 - Sections					Sections
	Pending Actions	< Jacker	Sinter 1	lineard. Type	Reported	Land Studeout Dr.	Last Wedned					The Major operational or
	Fitness and Probity	< Immediated	Blank		Mandatory	Saruh Brophy	06-5-ep-2023 (19-11)	a	0	<b>a</b> 2	9	security incident report return is divided into sections.
	Missages 🚺	. —						-	- Else	tie .		Complete each section that applies to your institution and
ø	Request Charge	<										submit the return to the Central Bank

#### Click on 'Add file':

C	Banc Ceannais na hÉireann Central Bank of Ireland Eursystem											
		CBI00050001 International Small Companies Equity Fund										
٠	Home 🤇	Home + Return Types										
•	Institution Details <	Major operational or security incident report Returns + 05-Sep-2823 + Incident Report + SectionFiles										
	My Institution Profile 🗸	'Incident Report' Files	View Section Files									
0	Pending Actions K		This page shows all the 'Major operational or security incident									
-	Fitness and Probity 🕻	Cont Atth	uploaded for the incident Report.									
-	14											

The Load Incident Report File screen will appear. Under the Report Type, select 'Initial report':

	Banc Ceannais na hÉireann Central Bank of Ireland Eurosystem		
		CBI00050001 International Small Companies Eq	juity Fund
A	Home <		
=	Institution Details <	Major operational or security incident report Returns > 06-Sep-2023 > Incident Report > Add Section File	
	My Institution Profile	Load Incident Report File	section file upload
•	Pending Actions <	·	On this page, you can load a
-	Fitness and Probity <	Depend Type:	file containing 'Incident Report' data.
×	Messages 7 <		
Ø	Request Change <	Incident Number	
	Portal Administration <		
<b>=</b>	Returns 🗸	Select a file and click 'Upload' Choose File No file chosen to upload it to the server.	
	View / Edit Returns		
	Minimum Reserve Deposit Requirements	The file name must take one of the following format(s): An excel document format (visv) document named CCCCCCC YYYYMMDD PSDINC where CCCCCCC is your	
8	Help 🖒 🗸	institution Code, YYYYMMDD is the reporting date.	
		An excel document format (xis) document named CCCCCCC_YYYYMMDD_PSDINC where CCCCCCC is your institution Code, YYYYMMDD is the reporting date.	Major Operational or Security Incident guide Submit a Request
_		Please note the following: 1) The file must be named according to the naming convention above <u>before being uploaded</u> . 2) The file name is <u>case sensitive</u> .	
		Upload Cancel	

Under the 'Incident Number' field, the system will automatically generate a new number for an Initial report e.g. C50001\_PSDINC\_4. This is also used to generate the unique *incident reference code* for each incident, comprised of the 2-digit ISO country code ('IE' for Ireland), the Institution Number and the Incident Number e.g. **IE\_C50001\_PSDINC\_4**. See guidance note on the website for further details.

Once the correct Report Type has been chosen and the Incident Number has been created, hit the 'Choose File' button to select the Excel file template, and once located choose the 'Open' option at the bottom of this screen. When the file is attached, click on '**Upload**'.

C	Banc Ceannais na hÉireann Central Bank of Ireland <sub>Euroystem</sub>	CBI00050001 International Small Compa	nies Equity Fund
٠	Home K	Home + Return Types	, ,
٠	Institution Details <	Major operational or security incident report. Returns > 06-Sep-2023 > Incident Report > Add Section File	
1	My Institution Profile	Load Incident Report File	
0	Pending Actions K		This is the fourth
۳	Fitness and Probity C	Reset Tory	incident raised by this
•	Messages 🛛 💈 🤇	mper type. Instar report	firm so it has
ß	Request Change K	Incident Number C50001_PSDINC_4	automatically been
	Portal Administration		assigned as Incident
-	Returns 🗸	Select a file and click 'Upload' Choose File No file chosen to upload it to the server.	Number 4 (PSDINC_4)
	View / Edit Returns		for the Initial report
	Minimum Reserve Deposit Revulrements	The file name must take one of the following format(x):	
•	Help Cf C	An excelledcoment format (sits) document named CCCCCCC_YYYYYMDD_P3DINC where CCCCCCC is you institution Code, YYYYMDD is the reporting date.	ε 
Ŭ		An excel document format (.ist) document named CCCCCCC_YYYYMMDD_PSDINC where CCCCCCC is your institution Code, YYYYMMDD is the reporting date. Please note the following: 1) The file mast be named according to the naming convention above <u>before.beting.ueloaded</u> . 2) The file name is <u>case sensitive</u> . Uploced Canced	

In order for the Excel files to be submitted, they must follow a defined naming convention. Filenames must conform to the following naming convention:

'CCCCCCC\_YYYYMMDD\_PSDINC.xlsx' or 'CCCCCCC\_YYYYMMDD\_PSDINC.xls'

#### Where

1. CCCCCC is the institution code (The 6/7 institution digit code used for logging into the Portal).

For Credit Unions, they will need to use their CU registration number (XXXCU) instead of the institution code.

- 2. YYYYMMDD is the return reporting date (not submission date) e.g. '20230906' for 6<sup>th</sup> September 2023.
- 3. PSDINC is the report name for incident reports on the Portal system.
- 1. The file extension can be either .xlsx or .xls

If the file name does not conform to the naming convention outlined above, then an error message will appear informing the user of the error. The file will not be accepted.

#### Example of invalid file name upload:

	Banc Ceannais na hÉireann Central Bank of Ireland Turseynen			
		CBI00050001 Internation	onal Small Companies Eq	uity Fund
*	Home	Home + Return Types		
٠	Institution Details	Major operational or security incident report Returns + 06-Se	p-2023 + Incident Report + Add Section File	
	My Institution Profile	Load Incident Report File		section file upload
0	Pending Actions			On this page, you can load a
	Fitness and Probity	Read Task		file containing 'Incident Report' data.
∞	Messages	initial report	•	
ø	Request Change	Incident Number C50001_PSDINC_4	v	
	Portal Administration			
-	Returns	Select a file and click 'Upload' Choose File. No file ch	osen	
	View / Edit Returns	Error: ISP-FIL-0003: Invalid File name (C50001_202309	File Name 05_PSDA65.xit/ does not fit expected file name patient.	
	Minimum Reserve Deposit Requirements	The file name must take one of the following format(s):		
0	Help C	An excel document format (Jibs) document named CCCCCC institution Code, YYYYMMDD is the reporting date. OR	CC_YYYYMMOD_PSDINC where CCCCCCC is your	Major Operational or Security
		An excel document format (.xis) document named COCCCC institution Code, YYYYYMMDD is the reporting date.	C_YYYYMMDD_PSDINC where CCCCCCC is your	Incident, aude Submit a Resulted
		Please note the following: 1) The file must be named according to the naming conve 2) The file name is <u>case sensitive</u> .		
		Upload Cancel		

Once the file has been uploaded and accepted, go back to the 'Returns' screen.

The user can now see the file name has changed based on the file uploaded. Once a valid report has been uploaded, the process of Finalising the return can then commence.



#### 3.3 Finalise the report

When the uploaded file has been selected, click the 'Finalise' button.

C	Banc Creanais na hÉireann Creatral Bank of Ireland Taragann									
			CBI000	500	01 In	terna	tional Si	mall Com	panies Equ	ity Fund
	Home	۲	marker Kelum Types							
•	Institution Details	4	Major operational o	r security	incident report	Returns > 00	-Sep-2023 - C50001	PSDINC 4		
1	My Institution Profile	۲	Major operati	onal or	security i	ncident re	port, 06-Sep-	2023 - Sections		Sections
•	Pending Actions	<	Section	Matur	Report Type	Rewind	Last Modeled Dr	Last libdated		The Major operational or
	Fitness and Probity	<	Issident Rivest	Value	Indial Import	Manhatory	Sareh Brophy	94-54p-2923 (16.18)	2 9 3 3	security incident report return is divided into sections.
	Messages								Ling	Complete each section that
ß	Request Change	<								submit the return to the Central Bank

The following screen will appear, confirming the report has been Finalised:

	Banc Ceannais na hÉireann Central Bank of Ireland <sub>Eurosystem</sub>		
		CBI00050001 International Small Companies Equ	ity Fund
A	Home	Home > Return Types	
=	Institution Details	Major operational or security incident report Returns > 06-Sep-2023 - C50001_PSDINC_4   Finalise Return	
	My Institution Profile	Major operational or security incident report, 06-Sep-2023 has been finalised	Finalise Return Instance
8	Pending Actions	· · · · · · · · · · · · · · · · · · ·	This page shows the results of
	Fitness and Probity	This Return is "Finalised" - it must now be "Signed-Off to be submitted to the Central Bank. Use the back button to navigate to the previous page.	Finalising a Return. The return will only be finalised if it has passed all cross form rule.
×	Messages 7		checks.
ß	Request Change		

#### 3.4 Sign-off the report

The report is now ready for sign-off. **Note: the person that signs-off the return must be a different user to the one who Finalised the Return.** When the return is signed-off, you will no longer be able to make changes to the report.

The user within the firm who signs-off returns will log in with their credentials and only this person will be able to access the Sign-Off functionality.

Navigate to the report through the 'View / Edit' data function outlined at the start of this document.

Once the file to be signed-off is selected, it will bring you to the following screen:

	Banc Ceannais na hÉireann Central Bank of Ireland Louisen									
			CBI000	500	01 In	terna	tional Si	mall Com	panies Equ	ity Fund
÷	Home	<	Home + Return Types							
-	Imtitution Details	<	Major operational o	x security	incident report	Raturns + D	6-Sep-2023 - CS0001	PSDINC_4		
1	My institution Frohie	<	Major operati	onal o	r security i	ncident re	port , 06-Sep-	2023 - Sections		Sections
0	Pending Actions	<	Jector	Sinher	Report Type	Remitted	Last Undated Dy	Last Updated		The Major operational or
۳	Filmess and Probility	<	tradect.Read	valu	Indui report	Mandatory	Savah Bridity	06-5 ep-2023 (19 16)	3 2 3 2	security incident report return is divided into sections
-	Messages								( Net)	Complete each section that
6	Request Change	<								submit the return to the Central Bank.
	Post of Antoninsis tradition									

Press the 'Sign-Off' button.

If you do not have access to sign-off, the following message will appear:

You cannot 'Sign-Off this Ref person to update it. You will n with verification access to log Off the Re	turn as you were the last eed to get someone else in to the system to Sign- eturn.	
	Major Operational or Secu	urity

The Declaration box must be ticked:



Tick the checkbox to signify acceptance and click 'Sign-off Return'



When the return has been signed-off the following confirmation will be displayed:

#### Back to "Contents"



The report has now been locked and cannot be changed.

## 4. Intermediate incident report

Intermediate reports should contain a more detailed description of the incident and its consequences. Please refer to the FAQs and guidance note on PSD2, available on the Central Bank website, for further guidance.

#### 4.1 Create new instance

The process is similar to that of the 'Initial report' outlined above.

Navigate to the 'Operational and security incident report' screen (Returns screen).

Click on 'View / Edit Returns'. The user will need to create a new instance to capture this report.

Note that it cannot have the same reporting date as the Initial report.

Note that you cannot have multiple reports for the same reporting date.

Entities must use the reporting template provided on the Central Bank of Ireland's website. The structure and formatting of the template must not be altered.

To create a new instance for the incident, click on 'Add Return':

	Banc Counsais na hÉireann Central Bank of Ireland Lessenn														
			CBI0005	000	)1 In	terna	tiona	l Sma	II Co	om	par	nie	s	Equ	uity Fund
•	Home	<	Home + Return Types												
-	Institution Details	<	Major operational or se	curity inc	ident report	Returns									1
1	My Institution Profile	<	Major operation	al or s	ecurity	incident r	eport Ret	irns							Returns
0	Pending Actions	<	Reporting Sele	Berlink	Status	Report Type	Todonication Dest Date	Leet.Undefied	Land						This page shows all the 'Major
	Fitness and Probity	~	\$2,8ms-2823	+	1148		16-06-2023	Tanah Brophy	96-5kp- 2823- (19-28)	9	9	N	×	14	operational or security incident report returns entered by your
	Mennages	<b>0</b> <	Calific Pacing 4	10	Specific	Table input		trans D Dally	ALC: NOT		3	D.	×		The second se
ø	Request Charge	<	11. Mar. 2021 CSINE1 FEDMC. 2	1.1	Spect	Manual de	11.000.0008	Sale attajument	HLAIP 2425 CC 140		3	20	×		which need to be completed and submitted to the Central
-	Portal Administration	ć	State Pilling 2	1.1	Squalit	Suffra sugar	11.044.0525	and partners	10.00		9	N	×	1	Bank.
-	Returns	~	tititi iliano a	•	Feature	hope when	31-Mar- 2020	Gent Roche	20152 (11.55)	a	3	N	×	*	If you need to make a change to a previously submitted
Cont.	Marriel & B. Batarray		Elder Picker, 1	11	Suma 1	Court report	2003	-	10.00		9	N	×		return, contact the Central Bank to get the return
	Very Life Metallin		Biolan 2021 - CSINEL PERMIC 1	10	Townson of the	Transmitter regent	101.0 ale 20120	Table Assessed	2626	1.1	3	2	×	-	-
	Minimum Reserve Deposit Requirements		Ball Hiller	1	-	hall a signal	25, Pade 1903	1.00 101.) 10100	10.00			N	×	10	
•	Help C	×								(		Add Ba	here .		Mator Oversitional or Security Incident and Security Advanced

In the **Reporting Date** field, enter the relevant date for the Intermediate report. As mentioned above, you cannot have multiple reports for the same reporting date. The Intermediate reports must have a different reporting date to that of the reporting date for the Initial report.

In the **Submission Due Date** field, add any future date. This will not have any impact on the reporting, but it is a feature of the Portal system that a due date is entered.

Click on Add. This will create the instance for the reporting date you entered. If you go back to the Reports screen, you will see this is now added.

### 4.2 Upload Intermediate incident report

Click on the Reporting Date instance created above.

#### Click in to the incident and select 'Add File':

	Central Bank of Ireland Tursymm			
			CBI00050001 International Small Companies Equi	ity Fund
٠	Home	<	Home + Return Types	
•	Institution Details	<	Major operational or security incident report Returns + 06 Sep-2023 + Incident Report + SectionFiles	
	My Institution Profile	<	'Incident Report' Files	View Section Files
0	Pending Actions	<	$\sim$	This page shows all the 'Major operational or security incident
-	Fitness and Probity	<	Ganat AddEller	uploaded for the incident Report.
-				

The Load Incident Report File screen will appear.

Under the Report type, select 'Intermediate Report'.

	Banc Ceannais na hÉireann Central Bank of Ireland				
		C	CBI00050001	International Small Companies Eq	uity Fund
A	Home	< Hor	me > Return Types		
<b>\$</b>	Institution Details	<	Major operational or security incider	treport Returns > 07-Sep-2023 > Incident Report > Add Section File	
	My Institution Profile	<	Load Incident Rep	ort File	section file upload
0	Pending Actions	<			On this page, you can load a
1	Fitness and Probity	<	DevetTrees		file containing 'Incident Report' data.
×	Messages	7 <	кероп туре.	< <report type="">&gt;</report>	
ø	Request Change	<	Incident Number	Initial report Intermediate report Last Intermediate report	
	Portal Administration	<		Final report	
=	Returns	~	Select a file and click 'Upload to upload it to the server:	Choose File No file chosen	
	View / Edit Returns				
	Minimum Reserve Deposit Requirements		The file name must take one o An excel document format (.xis	f the following format(s): x) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCCC is your	
0	Help 🖸	<	Institution Code, YYYYMMDD	is the reporting date.	
			An excel document format (.xls institution Code, YYYYMMDD i	<ul> <li>occument named CCCCCC_YYYYMMDD_PSDINC where CCCCCCC is your is the reporting date.</li> </ul>	Major Operational or Security Incident guide Submit a Request
			Please note the following: 1) The file must be named acc 2) The file name is <u>case sensit</u> Upload	ording to the naming convention above <u>before being uploaded</u> . <u>Ive</u> . Cancel	

Under the Incident Number field, the drop down list will contain a record of previously raised incidents. The incident number that was created for the Initial report, should be listed. For example, the initial incident report outlined earlier in this document, is incident number 4 (C50001\_PSDINC\_4).

Therefore, select this number from the dropdown list:

6	Banc Ceannais na hÉireann Central Bank of Ireland Euroyom	CPI00050001 International Small Companies Equity Fund
	Home	
•	Institution Details	Major operational or security incident report Returns > 07-Sep-2023 > Incident Report > Add Section File
1	My Institution Profile	Load Incident Report File
	Pending Actions	
-	Fitness and Probity	
•	Messages 2	
ß	Request Change	correct Incident number
	Portal Administration	
-	Returns	Select a file and click 'Upload' Choose File No file chosen to upload it to the server.
	View / Edit Returns	
	Minimum Reserve Deposit	The file name must take one of the following format(s):
~	Ilata 🕫	An excel document format (sits) document named CCCCCCC_YYYYMMDD_PBDING where CCCCCCC is your institution Code, YYYYMMDD is the reporting date.
Ű	Hep C	OR An excel document formal (Jis) document named CCCCCCC_YYYY1MMDD_PSDINC where CCCCCCC is your interface from the second and
		Please note the following: 9 The file must be named according to the naming convention above <u>before being unboaded</u> . 9 The file must be named according to the naming convention above <u>before being unboaded</u> . 9 The file must be acceled as a sensitive. Upboad Cancel

Once the correct Report Type and Incident Number have been selected, hit the 'Choose File' button to locate the relevant Excel file, and choose 'Open' at the bottom of the screen.

Remember to use the correct naming convention as outlined in section 3.2 above.

Once the file is attached, click on '**Upload**'. The following screen appears:



When the file has been uploaded and accepted, go back to the 'Returns' screen.

The status of the file should now be 'Valid'. The process of Finalising the return can now commence.

	Bane Ceannais na hÉireann Central Bank of Ireland		CBI0005	00	01 In	terna	itiona	l Sma	ll Co	omr	bar	nie	s	Εαι	uity Fund
A	Home	. <	Hone + Return Types						10 10				2	- 1	
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	Filmess and Probity	<	\$7.5m.2523	1	Back	1	(65-045-2023	Sault Scoper	100-Sep- 3023 110-201	2	3	39	×	18	operational or security incident report returns entered by your
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led.			24-30m-2020 C50001 P300mC_3	1	Fealent	Indust report	31-Mar- 2020	Gam Rocke	2022 117.56	2		хJ	×		return, contact the Central Bank to get the return.
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The next step is to Finalise the report. Please refer to **section 3.3** above for information on how to Finalise.

Once Finalised, the next step is to Sign-off the report. Please refer to **section 3.4** above for information on how to Sign-off.

### 4.3 Last Intermediate report

EBA guidance is that in most cases a last Intermediate report is no longer necessary. In cases where an incident is not resolved within three working days or where there are significant changes since the previous report, PSPs should submit an updated Intermediate report.

Finalising and Sign-Off is required, as outlined in the previous section.

## 5. Final incident report

A Final incident report is required to be submitted when the root cause analysis has taken place and there are actual figures available to replace any estimates.

### 5.1 Create new instance

The process is similar to that of the reports outlined above.

Navigate to the 'Operational and security incident report' option (Returns screen).

Click on 'View / Edit Returns'. The user will need to create a new instance to capture this report.

Note, that it cannot have the same reporting date as the Initial or Intermediate reports.



To create a new instance for the report, click on 'Add Return'.

	Banc Ceannais na hÉireann Central Bank of Ireland Turwynen														
			CBI0005	000	)1 In	terna	tiona	l Sma	ll Co	omį	par	nie	es	Equ	uity Fund
٠	Home	<	Home - Return Types												
۵	Institution Details	<	Major operational or se	curity inc	ident report	Returns									
	My Institution Profile	<	Major operation	al or s	ecurity	incident n	eport Ret	urns							Returns
	Pending Actions	<	Reporting Date	Revisio	n Statum	Report Type	Submission Data Data	Last Undated	Last						This page shows all the 'Major
-	Fitness and Probity	<	07-5ee-2023	1	Blank		05-Oct-2023	Sarah Brophy	06-Sep- 2023 (16/20)	8		39	×	ж	operational or security incident report returns entered by your
۰	Messages	<b>0</b> <	06.5ee.2022, C50001 PSDInc. 4	۰.	Veld	Intermediate report	04-Oct-2023	Sarah Drophy	06-5ep- 2023 (16:36)	۵		8	×	3	There are a later of a set of a
ø	Request Change	<	06.5eo.2022. C50001 PSDInc. 4	1.1	SignalOf	Initial report	04-Oct-2823	Kevin O'Rolly	06-5ep- 2923 (16:24)			8	×	3	which need to be completed and submitted to the Central
	Portal Administration	<	18-Marc 2020 C50001 PSDINC 2	۲ I	SignalOff	Informediate report	15-Jun-2020	Raly adm_ratione	18-Aug- 2029 (17:16)			8	×	3	Bank .
-	Returns	v	18-Mar.2020. C30001 P3Dinc. 2	۰	SignalOf	Initial report	15-Apr-2829	Rally adm_ratione	10-Mar- 2929 (87:22)		•	8	×	3	If you need to make a change to a previously submitted
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	Help C	<	06-Jan-2020, C50001 PSDInc. 1	1	SignedOff	Initial report	05-Feb- 2820	Rally adm_narcono	15-Mar- 2020 (16:04)		Q	XI	×	×	
										$\langle$		AM S	etera		Moior Operational or Security Incident aude Submit a filebuest

Enter the Reporting Date and Submission Due Date in the same manner as for the Initial and Intermediate reports.

In the **Reporting Date** field, add the relevant date of the Final report for. As mentioned above, **you cannot have multiple reports for the same reporting date**. The Final report must be a different reporting date to that of the reporting date for the Initial report and Intermediate reports.

In the **Submission Due Date** field, add any future date. This will not have any impact on the reporting, but it is a feature of the Portal system that a due date is entered.

Our advice is to put in a date that the incident is likely to be rectified, i.e. a date that is a few weeks ahead.

Click on '**Add**'. This will create the instance for the reporting date you entered. Go back to the Reports screen to see it is now added.

### 5.2 Upload Final incident report

Click in to the newly created instance under Reporting Date:

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			CB10005	000	01 In	terna	tiona	al Sma	all Co	om	bai	nie	s	Equ	uity Fund
A	Home	< .	Hune - Return Types												
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	Messages	0 <	State - Patience +	÷.	Vela	intermediate report	64-Opt-2923	Sarah Briphy	04-54p- 2023 (14-340)	2	3	Ð	×	-	inistration.
G	Request Change	~ <	Children 2022 Children 1992 Stores	4	Same Cit	talkal mante	84 (HS 2007)	From O'Gully	100.5 mp- 2023 (100.240)			32	×	18	which need to be completed and submitted to the Cantral
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ind.			24.Mar.2000. (20081 P323mg. 3		Pealant	Indiat report	31-Mar. 2020	Gleve Rocke	06-5ep- 2922 (11:55)	2		20	×	1	return, contact the Central Bank to get the return
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	Minimum Reserve Deposit Requirements		Male Sile		ingenetist.	in the result in a	25.Pak 2008	Ruly facate	TE Share			30	×		
	Hele C	- e	68-Jan-2022 CSINET PEONG 1	+ '	Same	todad superi	25.0 m	11200	10.10m			30	×	-	
												ANIS	eken		Melor Consultant or Security Incident avide Jailant a finitest

Click into the Incident Report to add the file for the Final Report

The Load Incident Report File screen will appear. Under the Report type, select 'Final Report':

読む	Banc Ceannais na hÉireann Central Bank of Ireland Eurosystem			International Small Companies	-	the Fund
	llame		PI00020001	. International Small Companies E	qui	ty Fund
1	Home	Hor	me > Return Types			
•	Institution Details	<	Major operational or security incident	t report Returns > 06-Sep-2023 > Incident Report > Add Section File		
2	My Institution Profile	<	Load Incident Rep	ort File		section file upload
Ð	Pending Actions	<				On this page, you can load a
•	Fitness and Probity	<				file containing 'Incident Report' data.
×	Messages	7 <	Report Type:	< <report type="">&gt;</report>		
Ï	Request Change	<	Incident Number	Initial report Intermediate report Last Intermediate report		
	Portal Administration	<		Final report		
-	Returns	~	Select a file and click 'Upload' to upload it to the server:	Choose File No file chosen		
	View / Edit Returns					
	Minimum Reserve Deposit Requirements		The file name must take one of	f the following format(s):		
			institution Code, YYYYMMDD is	s the reporting date.		
3	Help 🗹	<	OR			Major Operational or Security
			institution Code, YYYYMMDD is	accument named CCCCCCC_YYYYMMDD_PSDINC where CCCCCCC is your s the reporting date.		Incident guide Submit a Request
			Please note the following: 1) The file must be named accor 2) The file name is <u>case sensiti</u>	ording to the naming convention above <u>before being uploaded</u> . <u>ve.</u>		
			<u>Upload</u>	Cancel		

Under the Incident Number field, the drop down list will contain a record of previously raised incidents. The incident number that was created for the Initial report should be listed. For example, the initial incident report outlined earlier is incident number 4 (C50001\_PSDINC\_4).

Select this number from the dropdown list.

	Banc Ceannais na hÉireann Central Bank of Ireland Turseyson					
		C	BI0005000	01 International Sm	all Compai	nies Equity Fund
٠	Home	<	w + Betterin Topio			
•	Institution Details	< 💽	Aajor operational or security in	cident report Returns + 96-Sep-2023 + Incident R	Report > Add Section File	
1	My Institution Profile	<	Load Incident R	eport File		
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ß	Request Change	<	Incident Number	C50001_PSDINC_4	¥	the correct Incident
	Portal Administration	<				Number
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•	Help C	5	OR			
			An excel document formal institution Code, YYYYYM	t (xiti) document named CCCCCCC_YYYYYMMDD_PSD ADD is the reporting date	NC vitere CCCCCCC III your	
			Please note the following	-		
			<ol> <li>The file must be named 2) The file name is case to</li> </ol>	I according to the naming convention above before b enalities.	bebeologu poise	
		/				
			Upsond	Lander		

Once the correct Report Type and Incident Number have been selected, press the 'Choose File' button to locate the relevant Excel file and choose the 'Open' option at the bottom of the screen.

Remember to use the correct naming convention as outlined in section 3.2 above.

Once the file is attached, click on 'Upload'. The following screen appears.

	Banc Ceannais na hÉireann Central Bank of Ireland Eurosystem						
		CBIC	0050001 Interna	ational Small C	ompanie	es Equ	ity Fund
A	Home	Home > Return	Types				
\$	Institution Details	Major oper	ational or security incident report Returns >	06-Sep-2023 - C50001_PSDINC_4   I	ncident Report ▶ Sec	ionFiles	
	My Institution Profile	'Inciden	t Report' Files				View Section Files
•	Pending Actions	File	Document Identifier	Last Updated	By Last Updated		This page shows all the 'Major operational or security incident
<b> ~</b>	Fitness and Probity	<	C50001_PSDINC_4	Sarah Brophy	06-Sep-2023 (16:41)	🔲 🗙	uploaded for the Incident Report.
×	Messages 7	C C			Cancel Add	File	
6	Request Change						

When the file has been submitted and accepted, go back to the 'Returns' screen.

The status of the file should now be 'Valid'. When the status is 'Valid', the process of Finalising the return can commence.

A	Rang Ceannaig na hÉireann															
	Central Bank of Ireland															
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ø	Request Change	<		06-Sep-2023 - C50001 PSDINC 4	1	Valid	Intermediate report	04-Oct-2023	Sarah Brophy	06-Sep- 2023 (16:36)	2		3	×		There are outstanding returns which need to be completed and submitted to the Central
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	Minimum Deceme Decemi			24-Mar-2020 - C50001 PSDINC 3	1	Finalised	Initial report	31-Mar- 2020	Glenn Roche	06-Sep- 2022 (11:55)	2		3	×		
	Minimum Reserve Deposit						1									

The next step is to finalise the report. Please refer to **section 3.3** above for information on how to finalise.

Once finalised, the next step is to Sign-off the report. Please refer to **section 3.4** above for information on how to Sign-off.



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Banc Ceannais na hÉireann Central Bank of Ireland

Eurosystem