



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.

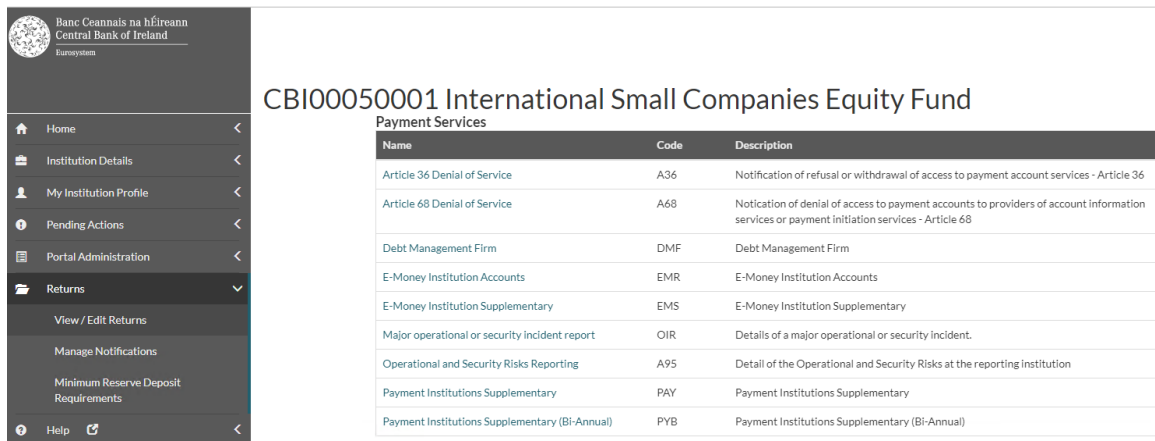
For users not familiar with the Portal system, information about the Portal and related guidance documents are available on the Central Bank website at this address:

<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:



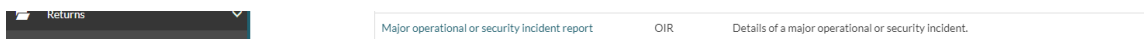
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Home <
Institution Details <
My Institution Profile <
Pending Actions <
Portal Administration <
Returns >
View / Edit Returns
Manage Notifications
Minimum Reserve Deposit Requirements
Help <

CBI00050001 International Small Companies Equity Fund

Name	Code	Description
Article 36 Denial of Service	A36	Notification of refusal or withdrawal of access to payment account services - Article 36
Article 68 Denial of Service	A68	Notification of denial of access to payment accounts to providers of account information services or payment initiation services - Article 68
Debt Management Firm	DMF	Debt Management Firm
E-Money Institution Accounts	EMR	E-Money Institution Accounts
E-Money Institution Supplementary	EMS	E-Money Institution Supplementary
Major operational or security incident report	OIR	Details of a major operational or security incident.
Operational and Security Risks Reporting	A95	Detail of the Operational and Security Risks at the reporting institution
Payment Institutions Supplementary	PAY	Payment Institutions Supplementary
Payment Institutions Supplementary (Bi-Annual)	PYB	Payment Institutions Supplementary (Bi-Annual)

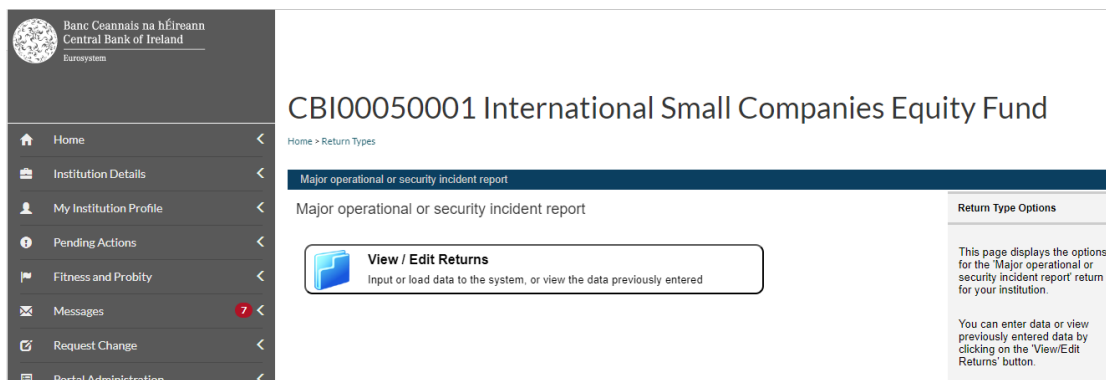
Select 'Major operational or security incident report':



Returns >

Major operational or security incident report	OIR	Details of a major operational or security incident.
---	-----	--

Select 'View / Edit Returns':



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Home <
Institution Details <
My Institution Profile <
Pending Actions <
Fitness and Probity <
Messages 7 <
Request Change <
Portal Administration <

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report

Major operational or security incident report

View / Edit Returns
Input or load data to the system, or view the data previously entered

Return Type Options

This page displays the options for the 'Major operational or security incident report' return for your institution.

You can enter data or view previously entered data by clicking on the 'View/Edit Returns' button.

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 major¹.

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':

The screenshot shows the Central Bank of Ireland portal interface. On the left is a navigation menu with options like Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages, Request Change, Portal Administration, and Returns. The main area displays the title 'CBI00050001 International Small Companies Equity Fund' and a table of 'Major operational or security incident report Returns'. The table has columns for Reporting Date, Revision, Status, Report Type, Submission Due Date, Last Updated By, and Last Updated. The 'Add Return' button at the bottom right of the table is circled in red. To the right of the table, there is a 'Returns' sidebar with explanatory text.

The following screen will appear:

The screenshot shows the 'Add Return Instance' form. The left navigation menu is the same as in the previous screenshot. The main area is titled 'CBI00050001 International Small Companies Equity Fund' and 'Add Return Instance'. The form contains two input fields: 'Reporting Date' and 'Submission Due Date', each with a calendar icon. Below the fields are 'Add' and 'Cancel' buttons. To the right of the form, there is a sidebar with instructions on how to create a new (unscheduled) return.

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

¹ In accordance with Article 96 of Directive (EU) 2015/2366.

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.

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

The screenshot shows the 'Add Return Instance' form for 'CBI00050001 International Small Companies Equity Fund'. The 'Reporting Date' is set to 06-Sep-2023 and the 'Submission Due Date' is set to 31-Oct-2023. The 'Add' button is circled in red. A sidebar on the left contains navigation links: Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages (7), Request Change, Portal Administration, and Returns (selected). The 'Returns' section is expanded, showing 'View / Edit Returns' and 'Minimum Reserve Deposit Requirements'.

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:

The screenshot shows the 'Returns' screen for 'CBI00050001 International Small Companies Equity Fund'. It displays a table of 'Major operational or security incident report Returns'. The first row, dated 06-Sep-2023, is circled in red. The table has columns for Instance, Status, Report Type, Submission Due Date, Last Updated By, and Last Updated. The first row shows a 'Blank' report by Sarah Murphy. The second row shows a 'Preliminary report' by Paul O'Brien. The third row shows a 'Preliminary report' by Paul O'Brien. The fourth row shows a 'Preliminary report' by Paul O'Brien. The fifth row shows a 'Preliminary report' by Paul O'Brien. The sixth row shows a 'Preliminary report' by Paul O'Brien. The seventh row shows a 'Preliminary report' by Paul O'Brien. The eighth row shows a 'Preliminary report' by Paul O'Brien. The ninth row shows a 'Preliminary report' by Paul O'Brien. The tenth row shows a 'Preliminary report' by Paul O'Brien. The eleventh row shows a 'Preliminary report' by Paul O'Brien. The twelfth row shows a 'Preliminary report' by Paul O'Brien. The thirteenth row shows a 'Preliminary report' by Paul O'Brien. The fourteenth row shows a 'Preliminary report' by Paul O'Brien. The fifteenth row shows a 'Preliminary report' by Paul O'Brien. The sixteenth row shows a 'Preliminary report' by Paul O'Brien. The seventeenth row shows a 'Preliminary report' by Paul O'Brien. The eighteenth row shows a 'Preliminary report' by Paul O'Brien. The nineteenth row shows a 'Preliminary report' by Paul O'Brien. The twentieth row shows a 'Preliminary report' by Paul O'Brien. The twenty-first row shows a 'Preliminary report' by Paul O'Brien. The twenty-second row shows a 'Preliminary report' by Paul O'Brien. The twenty-third row shows a 'Preliminary report' by Paul O'Brien. The twenty-fourth row shows a 'Preliminary report' by Paul O'Brien. The twenty-fifth row shows a 'Preliminary report' by Paul O'Brien. 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The eighty-fourth row shows a 'Preliminary report' by Paul O'Brien. The eighty-fifth row shows a 'Preliminary report' by Paul O'Brien. The eighty-sixth row shows a 'Preliminary report' by Paul O'Brien. The eighty-seventh row shows a 'Preliminary report' by Paul O'Brien. The eighty-eighth row shows a 'Preliminary report' by Paul O'Brien. The eighty-ninth row shows a 'Preliminary report' by Paul O'Brien. The ninetieth row shows a 'Preliminary report' by Paul O'Brien. The ninety-first row shows a 'Preliminary report' by Paul O'Brien. The ninety-second row shows a 'Preliminary report' by Paul O'Brien. The ninety-third row shows a 'Preliminary report' by Paul O'Brien. The ninety-fourth row shows a 'Preliminary report' by Paul O'Brien. The ninety-fifth row shows a 'Preliminary report' by Paul O'Brien. The ninety-sixth row shows a 'Preliminary report' by Paul O'Brien. The ninety-seventh row shows a 'Preliminary report' by Paul O'Brien. The ninety-eighth row shows a 'Preliminary report' by Paul O'Brien. The ninety-ninth row shows a 'Preliminary report' by Paul O'Brien. The hundredth row shows a 'Preliminary report' by Paul O'Brien.

Click into the Incident Report

The screenshot shows the Central Bank of Ireland portal interface. On the left is a navigation menu with options like Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages, and Request Change. The main content area is titled 'CBI00050001 International Small Companies Equity Fund'. Below this, there's a breadcrumb trail: 'Home > Return Types > Major operational or security incident report > Returns > 06-Sep-2023'. The main heading is 'Major operational or security incident report, 06-Sep-2023 - Sections'. Below this is a table with columns: Incident, Status, Report Type, Reported, Last Updated By, and Last Updated. The 'Incident' column has a value 'Incident Report' which is circled in red. To the right of the table is a 'Cancel' button. Further right, there's a 'Sections' section with text explaining that the report is divided into sections and that each section should be completed and submitted to the Central Bank.

Click on 'Add file':

This screenshot shows the 'Incident Report' page. The breadcrumb trail is 'Home > Return Types > Major operational or security incident report > Returns > 06-Sep-2023 > Incident Report > Section Files'. The main heading is 'Incident Report Files'. Below this is a 'View Section Files' section with text explaining that this page shows all the 'Major operational or security incident report' files that have been uploaded. At the bottom of the page, there are two buttons: 'Cancel' and 'Add File', with 'Add File' circled in red.

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

This screenshot shows the 'Load Incident Report File' screen. The breadcrumb trail is 'Home > Return Types > Major operational or security incident report > Returns > 06-Sep-2023 > Incident Report > Add Section File'. The main heading is 'Load Incident Report File'. Below this is a form with two dropdown menus: 'Report Type' (set to 'Initial report') and 'Incident Number'. Below these is a section for file upload with a 'Choose File' button and text indicating that no file has been chosen. There's also a section for file naming conventions, explaining that the file name must follow a specific format (e.g., CCCCCC_YYYYMMDD_PSDINC) and that it must be case sensitive. At the bottom of the form are 'Upload' and 'Cancel' buttons. To the right of the form is a 'section file upload' section with text explaining that a file containing 'Incident Report' data can be uploaded. At the bottom of this section are links for 'Major Operational or Security Incident guide' and 'Submit a Request'.

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'.

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Home > Return Types

Major operational or security incident report Returns > 06-Sep-2023 > Incident Report > Add Section File

Load Incident Report File

Report Type:

Incident Number:

Select a file and click 'Upload' to upload it to the server: No file chosen

The file name must take one of the following format(s):

An excel document format (.xlsx) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

OR

An excel document format (.xls) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

Please note the following:

- 1) The file must be named according to the naming convention above before being uploaded.
- 2) The file name is case sensitive.

This is the fourth incident raised by this firm so it has automatically been assigned as Incident Number 4 (PSDINC_4) for the Initial report

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 (XXXCXU) instead of the institution code.

2. YYYYMMDD is the return reporting date (not submission date) e.g. '20230906' for 6th 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:

The screenshot shows the 'Load Incident Report File' interface. The 'Report Type' is set to 'Initial report' and the 'Incident Number' is 'C50001_PSDINC_4'. A red box highlights an error message: 'Error (ISP-FIL-0003): Invalid File Name. File name 'C50001_20230905_PSDA68.xlsx' does not fit expected file name pattern.' Below the error, instructions specify the required file naming convention: 'An excel document format (.xlsx) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.' It also notes that the file name must be named according to the convention before being uploaded and is case sensitive. The 'Upload' button is visible at the bottom.

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.

The screenshot shows the 'Incident Report' Files section. A table lists the uploaded file:

File	Document Identifier	Last Updated By	Last Updated
	C50001_PSDINC_4	Sarah Brophy	06-Sep-2023 (16:16)

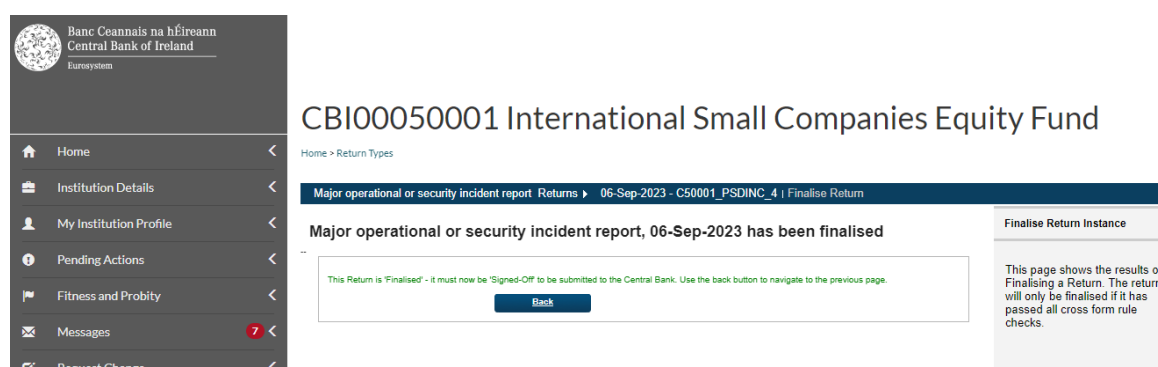
Buttons for 'Cancel' and 'Add File' are visible below the table. A sidebar on the right titled 'View Section Files' states: 'This page shows all the 'Major operational or security incident report' Files that your institution has uploaded for the Incident Report.'

3.3 Finalise the report

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



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



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:

The screenshot shows the Central Bank of Ireland portal interface. On the left is a navigation menu with options: Home, Institution Details, My Institution Profile, Pending Actions, Fitness and Probity, Messages (with a red '21' badge), Request Change, and Product Administration. The main content area is titled 'CBI00050001 International Small Companies Equity Fund'. Below this, it says 'Major operational or security incident report Returns' and '06-Sep-2023 - C50001_PSDINC_4'. A table titled 'Major operational or security incident report , 06-Sep-2023 - Sections' is displayed. The table has columns: Section, Status, Report Type, Required, Last Updated By, and Last Updated. The first row is 'Incident Report', 'Valid', 'Initial report', 'Mandatory', 'Sarah Enghy', and '06-Sep-2023 (18:16)'. To the right of the table is a 'Sign-Off' button, which is circled in red. On the far right, there is a 'Sections' panel with instructions: 'The Major operational or security incident report return is divided into sections. Complete each section that applies to your institution and submit the return to the Central Bank.'

Press the 'Sign-Off' button.

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

The screenshot shows a yellow error message box with the text: 'You cannot 'Sign-Off' this Return as you were the last person to update it. You will need to get someone else with verification access to log in to the system to Sign-Off the Return.' Below the text is an 'OK' button. The background of the page is grey and partially obscured by the message box.

The Declaration box must be ticked:

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Home • Return Types

Major operational or security incident report Returns ▶ 06-Sep-2023 - C50001_PSDINC_4 | SignOff Return

Sign-Off Return

The Return is ready to be signed-off.

The Major operational or security incident report return must be 'signed-off' to complete the process of submitting data to the Central Bank.

After you sign-off the return, it will be 'locked' and you will no longer be able to make changes (unless the return is subsequently unlocked by the Central Bank for revision).

Please note that where a return is unlocked, it will only be possible to edit the file attached to the return. It will not be possible to edit the report type (i.e. initial report, intermediate report, final report) or the incident ID.

Declaration

To signify your acceptance of this statement, tick the box below:

☐

Once you have verified the correctness of the data to your satisfaction, click the 'Sign-Off Return' button below to sign-off the return and submit the data to the Central Bank. This will complete the process of submitting the return (for this period).

I declare that the information which has been entered for the Major operational or security incident report return is complete and correct to the best of my knowledge.

[Cancel](#) [Sign-off Return](#)

Sign Off Return Instance

Major Operational or Security Incident guide
[Submit a Request](#)

Legal Information Accessibility

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

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Home • Return Types

Major operational or security incident report Returns ▶ 06-Sep-2023 - C50001_PSDINC_4 | SignOff Return

Sign-Off Return

The Return is ready to be signed-off.

The Major operational or security incident report return must be 'signed-off' to complete the process of submitting data to the Central Bank.

After you sign-off the return, it will be 'locked' and you will no longer be able to make changes (unless the return is subsequently unlocked by the Central Bank for revision).

Please note that where a return is unlocked, it will only be possible to edit the file attached to the return. It will not be possible to edit the report type (i.e. initial report, intermediate report, final report) or the incident ID.

Declaration

To signify your acceptance of this statement, tick the box below:

☒

Once you have verified the correctness of the data to your satisfaction, click the 'Sign-Off Return' button below to sign-off the return and submit the data to the Central Bank. This will complete the process of submitting the return (for this period).

I declare that the information which has been entered for the Major operational or security incident report return is complete and correct to the best of my knowledge.

[Cancel](#) [Sign-off Return](#)

Sign Off Return Instance

Major Operational or Security Incident guide
[Submit a Request](#)

Legal Information Accessibility

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

The screenshot displays the Central Bank of Ireland Portal interface. On the left is a dark sidebar with the bank's logo and navigation menu. The main content area shows the breadcrumb 'Home > Return Types' and a header for 'CBI00050001 International Small Companies Equity Fund'. Below this, a blue bar indicates the current report: 'Major operational or security incident report Returns > 06-Sep-2023 - C50001_PSDINC_4 | SignOff Return'. The main heading is 'Sign-Off Return'. A white box contains the message: 'The return has been successfully signed-off'. Below this, it states: 'You have successfully signed-off the Major operational or security incident report return – it has now been submitted to the Central Bank. This Return is locked, and can't be changed until it is unlocked for revision by the Central Bank. Please note that where a return is unlocked, it will only be possible to edit the file attached to the return. It will not be possible to edit the report type (i.e. initial report, intermediate report, final report) or the incident ID. Use the back button to navigate to the previous page.' A blue 'Back' button is at the bottom right of the message box. On the right side, there is a 'Sign Off Return Instance' section and a link to 'Major Operational or Security Incident guide Submit a Request'. The footer includes 'Legal Information' and 'Accessibility'.

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':

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report Returns

Major operational or security incident report Returns

Reporting Date	Reviewer Status	Report Type	Submission Due Date	Last Updated By	Last Updated						
27-Sep-2022	1	Block	15-Oct-2022	Sarah Smyth	26-Sep-2022 (19:28)						
05-Sep-2022 CBI0001 PSDINC_4	1	Sign-off	04-Oct-2022	Kieran O'Driscoll	05-Sep-2022 (12:25)						
10-Mar-2022 CBI0001 PSDINC_2	1	Sign-off	11-Jun-2022	Walter White, James	10-Mar-2022 (17:14)						
10-Mar-2022 CBI0001 PSDINC_2	1	Sign-off	10-Apr-2022	Walter White, James	10-Mar-2022 (15:19)						
14-Mar-2022 CBI0001 PSDINC_3	1	Finalised	10-Mar-2022	Gavin Roche	06-Sep-2022 (11:55)						
10-Jan-2022 CBI0001 PSDINC_1	1	Sign-off	01-Feb-2022	Sally Brown	10-Jan-2022 (15:30)						
09-Jan-2022 CBI0001 PSDINC_1	1	Sign-off	09-Feb-2022	Sally Brown	09-Jan-2022 (15:30)						
09-Jan-2022 CBI0001 PSDINC_1	1	Sign-off	09-Feb-2022	Sally Brown	09-Jan-2022 (15:30)						

Add Return

Returns

This page shows all the 'Major operational or security incident report' returns entered by your institution.

There are outstanding returns which need to be completed and submitted to the Central Bank.

If you need to make a change to a previously submitted return, contact the Central Bank to get the return unlocked.

Major Operational or Security Incident Report
Submit a Report

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

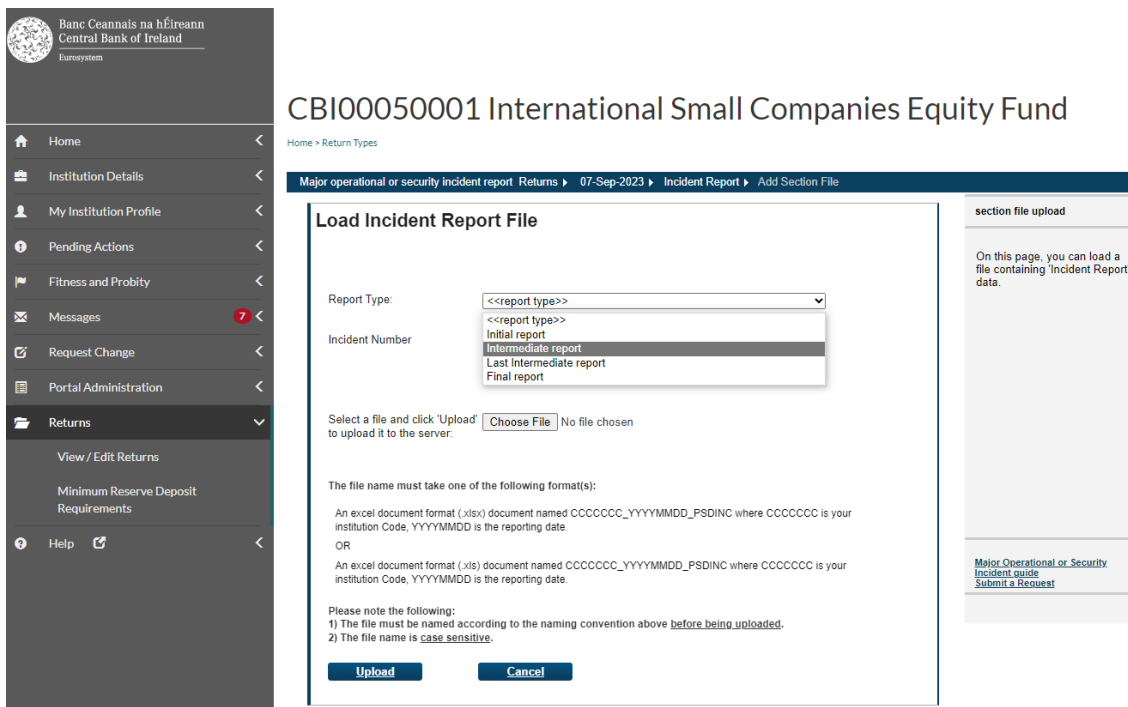
Click on the Reporting Date instance created above.

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



The Load Incident Report File screen will appear.

Under the Report type, select 'Intermediate Report'.



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:

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report Returns > 07-Sep-2023 > Incident Report > Add Section File

Load Incident Report File

Report Type:

Incident Number:

Select a file and click 'Upload' to upload it to the server. No file chosen

The file name must take one of the following format(s):

An excel document format (.xlsx) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

OR

An excel document format (.xls) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

Please note the following:

- 1) The file must be named according to the naming convention above before being uploaded.
- 2) The file name is case sensitive.

Ensure you select the correct Incident number

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:

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report Returns > 06-Sep-2023 - C50001_PSDINC_4 | Incident Report > SectionFiles

'Incident Report' Files

File	Document Identifier	Last Updated By	Last Updated	
	C50001_PSDINC_4	Sarah Brophy	06-Sep-2023 (16:36)	Valid

View Section Files

This page shows all the 'Major operational or security incident report' Files that your institution has uploaded for the Incident Report.

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.

Major operational or security incident report Returns

Reporting Date	Incident	Status	Report Type	Submission Due Date	Last Updated By	Last Updated
07-Sep-2023	1	Valid	Intermediate report	05-Oct-2023	Sarah Brophy	06-Sep-2023 (15:28)
08-Sep-2023	1	Sign-off	Initial report	04-Oct-2023	Sarah Brophy	08-Sep-2023 (15:36)
08-Sep-2023	1	Sign-off	Initial report	04-Oct-2023	Karen O'Sullivan	08-Sep-2023 (15:36)
10-Mar-2024	1	Sign-off	Intermediate report	11-Jun-2024	Paula O'Sullivan	10-Mar-2024 (11:11)
10-Mar-2024	1	Sign-off	Initial report	11-Jun-2024	Paula O'Sullivan	10-Mar-2024 (11:11)
24-Mar-2024	1	Finalised	Initial report	31-Mar-2024	Glenn Roche	24-Mar-2024 (11:56)
25-Mar-2024	1	Sign-off	Final report	01-Jun-2024	Paula O'Sullivan	25-Mar-2024 (11:56)
25-Mar-2024	1	Sign-off	Intermediate report	01-Jun-2024	Paula O'Sullivan	25-Mar-2024 (11:56)
25-Mar-2024	1	Sign-off	Initial report	01-Jun-2024	Paula O'Sullivan	25-Mar-2024 (11:56)

[Add Return](#)

Returns

This page shows all the 'Major operational or security incident report' returns entered by your institution.

There are outstanding returns which need to be completed and submitted to the Central Bank.

If you need to make a change to a previously submitted return, contact the Central Bank to get the return unlocked.

Major Operational or Security Incident Report Submittal & Unlocked

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.

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 report, click on 'Add Return'.

CBI00050001 International Small Companies Equity Fund

Home » Return Types

Major operational or security incident report Returns

Reporting Date	Revision	Status	Report Type	Submission Due Date	Last Updated By	Last Modified					
07-Sep-2023	1	Blank		05-Oct-2023	Sarah Brophy	06-Sep-2023 (18:35)					
06-Sep-2023 CBI0001 PSDinc_4	1	Valid	Intermediate report	04-Oct-2023	Sarah Brophy	06-Sep-2023 (18:35)					
06-Sep-2023 CBI0001 PSDinc_4	1	SignedOff	Initial report	04-Oct-2023	Kevin O'Reilly	06-Sep-2023 (18:35)					
18-May-2020 CBI0001 PSDinc_2	1	SignedOff	Intermediate report	15-Jun-2020	Raffy adms_sarcoma	18-May-2020 (17:13)					
18-May-2020 CBI0001 PSDinc_2	1	SignedOff	Initial report	15-Apr-2020	Raffy adms_sarcoma	18-May-2020 (17:13)					
14-May-2020 CBI0001 PSDinc_3	1	Finalised	Initial report	31-May-2020	Glenn Roche	06-Sep-2022 (11:55)					
10-Jan-2020 CBI0001 PSDinc_1	1	SignedOff	Final report	07-Feb-2020	Raffy Access	10-Jan-2020 (16:29)					
09-Jan-2020 CBI0001 PSDinc_1	1	SignedOff	Intermediate report	06-Feb-2020	Raffy Access	10-Jan-2020 (16:29)					
09-Jan-2020 CBI0001 PSDinc_1	1	SignedOff	Initial report	05-Feb-2020	Raffy adms_sarcoma	10-Jan-2020 (16:29)					

Add Return

Major Operational or Security Incident update Submit a Document

Returns

This page shows all the 'Major operational or security incident report returns entered by your institution.

There are outstanding returns which need to be completed and submitted to the Central Bank.

If you need to make a change to a previously submitted return, contact the Central Bank to get the return unlocked.

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:

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report Returns

Submission Date	Incident	Status	Report Type	Submission Due Date	Last Updated By	Last Submitted				
06-Sep-2023 CBI00050001_PSDINC_4	1	Blank		05-Oct-2023	Sarah Bishop	06-Sep-2023 (15:23)				
06-Sep-2023 CBI00050001_PSDINC_4	1	Valid	Intermediate report	04-Oct-2023	Sarah Bishop	06-Sep-2023 (15:28)				
06-Sep-2023 CBI00050001_PSDINC_4	1	Completed	Initial report	04-Oct-2023	Sarah Bishop	06-Sep-2023 (15:28)				
18-May-2023 CBI00050001_PSDINC_4	1	Completed	Intermediate report	15-Jun-2023	Fluffy System	18-May-2023 (11:17)				
18-May-2023 CBI00050001_PSDINC_4	1	Completed	Initial report	15-Jun-2023	Fluffy System	18-May-2023 (11:17)				
24-May-2023 CBI00050001_PSDINC_3	1	Finalised	Initial report	31-May-2023	Gleni Macne	06-Sep-2023 (15:55)				
18-Jan-2023 CBI00050001_PSDINC_1	1	Completed	Final report	01-Feb-2023	Fluffy System	18-Jan-2023 (15:28)				
08-Jan-2023 CBI00050001_PSDINC_1	1	Completed	Intermediate report	04-Feb-2023	Fluffy System	08-Jan-2023 (15:28)				
08-Jan-2023 CBI00050001_PSDINC_1	1	Completed	Initial report	04-Feb-2023	Fluffy System	08-Jan-2023 (15:28)				

[Add Return](#)

Returns

This page shows all the 'Major operational or security incident report' returns entered by your institution.

There are outstanding returns which need to be completed and submitted to the Central Bank.

If you need to make a change to a previously submitted return, contact the Central Bank to get the return unlocked.

[Major Operational or Security Incident guide](#)
[Submit a Request](#)

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':

CBI00050001 International Small Companies Equity Fund

Home > Return Types

Major operational or security incident report Returns > 06-Sep-2023 > Incident Report > Add Section File

Load Incident Report File

Report Type: <<report type>>

Incident Number: <<report type>>

Select a file and click 'Upload' to upload it to the server. [Choose File](#) No file chosen

The file name must take one of the following format(s):

An excel document format (.xlsx) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

OR

An excel document format (.xls) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

Please note the following:

- 1) The file must be named according to the naming convention above before being uploaded.
- 2) The file name is case sensitive.

[Upload](#) [Cancel](#)

section file upload

On this page, you can load a file containing 'Incident Report' data.

[Major Operational or Security Incident guide](#)
[Submit a Request](#)

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.

Home > Return Types > Major operational or security incident report > Returns > 06-Sep-2023 > Incident Report > Add Section File

Load Incident Report File

Report Type:

Incident Number:

Select a file and click 'Upload' to upload it to the server. No file chosen

The file name must take one of the following formats:

An excel document format (.xls) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

OR

An excel document format (.xls) document named CCCCCC_YYYYMMDD_PSDINC where CCCCCC is your institution Code, YYYYMMDD is the reporting date.

Please note the following:

- 1) The file must be named according to the naming convention above *before being uploaded*.
- 2) The file name is *case sensitive*.

Ensure that you select the correct Incident Number

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.

Home > Return Types > Major operational or security incident report > Returns > 06-Sep-2023 - C50001_PSDINC_4 > Incident Report > SectionFiles

'Incident Report' Files

File	Document Identifier	Last Updated By	Last Updated
	C50001_PSDINC_4	Sarah Brophy	06-Sep-2023 (16:41)

View Section Files

This page shows all the 'Major operational or security incident report' Files that your institution has uploaded for the Incident Report.

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.



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Major operational or security incident report Returns

[View / Edit Returns]

Major operational or security incident report Returns

Reporting Date	Revision	Status	Report Type	Submission Due Date	Last Updated By	Last Updated					
07-Sep-2023	1	Blank		05-Oct-2023	Sarah Brophy	06-Sep-2023 (18:28)					
05-Sep-2023 - C50001 PSDINC_4	1	Valid	Final report	04-Oct-2023	Sarah Brophy	06-Sep-2023 (18:41)					
05-Sep-2023 - C50001 PSDINC_4	1	Valid	Intermediate report	04-Oct-2023	Sarah Brophy	06-Sep-2023 (18:38)					
06-Sep-2023 - C50001 PSDINC_4	1	SignedOff	Initial report	04-Oct-2023	Kevin O'Reilly	06-Sep-2023 (18:24)					
18-Mar-2020 - C50001 PSDINC_2	1	SignedOff	Intermediate report	15-Jan-2020	Rally adm_yarcano	18-Aug-2020 (17:16)					
18-Mar-2020 - C50001 PSDINC_2	1	SignedOff	Initial report	15-Apr-2020	Rally adm_yarcano	18-Mar-2020 (17:27)					
24-Mar-2020 - C50001 PSDINC_3	1	Finalised	Initial report	31-Mar-2020	Glenn Roche	06-Sep-2023 (11:55)					

Returns

This page shows all the 'Major operational or security incident report' returns entered by your institution.

There are outstanding returns which need to be completed and submitted to the Central Bank.

If you need to make a change to a previously submitted return, contact the Central Bank to get the return unlocked.

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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