0. Please enable VBA macros to ensure the correct functioning of the tool: File -> Options -> Trust Center -> Trust Center Settings -> Enable all macros -> OK. You may need to close Excel and open the file again.

1. Payment service providers should fill out the relevant section of the template, depending on the reporting phase they are in: section A for the initial report, section B for intermediate reports and section C for the final report.

2. Please, select the type of report:

<table>
<thead>
<tr>
<th>Type of report submitted</th>
<th>Report that is being submitted</th>
<th>Deadlines</th>
<th>Explanatory notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial report</td>
<td></td>
<td>within 4 hours after classification</td>
<td>The initial report is the first notification that the PSP submits to the competent authority in the home Member State.</td>
</tr>
<tr>
<td>Intermediate report</td>
<td>maximum of 3 working days from the submission of the initial report</td>
<td>The intermediate report provides a more detailed description of the incident and its consequences. It is an update of the initial report (and where applicable to a previous intermediate report) on the same incident. It informs the competent authority in the home Member State that regular activities have been recovered and business is back to normal.</td>
<td></td>
</tr>
<tr>
<td>Final report</td>
<td>within 20 working days after the submission of the intermediate report</td>
<td>The final report is the last report the PSP will send on the incident since, 1) a root cause analysis has already been carried out and estimations can be replaced with real figures or 2) the incident is not considered major anymore and need to be reclassified.</td>
<td></td>
</tr>
<tr>
<td>Incident reclassified as non-major</td>
<td></td>
<td></td>
<td>An incident reclassified as non-major refers when it does not longer fulfil the criteria to be considered major and is not expected to fulfil them before it is solved. PSPs should explain the reasons for this reclassification.</td>
</tr>
</tbody>
</table>
Major Incident Report

Initial report within 4 hours after classification of the incident as major

Report date (DD/MM/YYYY) Incident reference code

Time (HH:MM)

A - Initial report

A 1 - GENERAL DETAILS

Type of report

Affected payment service provider (PSP)
PSP name
PSP national identification number
Head of group, if applicable

Country / countries affected by the incident

Primary contact person

Secondary contact person

Reporting entity (complete this section if the reporting entity is not the affected PSP in case of delegated reporting)

Name of the reporting entity
National identification number
Primary contact person
Secondary contact person

A 2 - INCIDENT DETECTION and CLASSIFICATION

Date and time of detection of the incident (DD/MM/YYYY HH:MM)

Date and time of classification of the incident (DD/MM/YYYY HH:MM)

The incident was detected by

Criteria triggering the major incident report

A short and general description of the incident

Impact in other EU Member States, if applicable

Reporting to other authorities

Reasons for late submission of the initial report

In case the reporting is done on a consolidated basis, please complete the following table:

CONSOLIDATED REPORT - LIST OF PSPs

<table>
<thead>
<tr>
<th>PSP Name</th>
<th>PSP Unique Identification Number</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
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<td></td>
<td></td>
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<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Other PSPs or relevant infrastructures potentially affected

Other information

If 'Other', please specify:
**Major Incident Report**

**Intermediate report**

maximum of 3 working days from the submission of the initial report

<table>
<thead>
<tr>
<th>Report date <em>(DD/MM/YYYY)</em></th>
<th>Incident reference code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Time <em>(HH:MM)</em></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**B - Intermediate report**

**B 1 - GENERAL DETAILS**

**More detailed description of the incident:**

<table>
<thead>
<tr>
<th>What is the specific issue?</th>
</tr>
</thead>
<tbody>
<tr>
<td>How did the incident start?</td>
</tr>
<tr>
<td>How did it evolve?</td>
</tr>
</tbody>
</table>

**What are the consequences (in particular for payment service users)?**

<table>
<thead>
<tr>
<th>Was the incident communicated to payment service users?</th>
</tr>
</thead>
<tbody>
<tr>
<td>If 'Yes', please specify:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Was it related to a previous incident/s?</th>
</tr>
</thead>
<tbody>
<tr>
<td>If 'Yes', please specify:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Were other service providers/third parties affected or involved?</th>
</tr>
</thead>
<tbody>
<tr>
<td>If 'Yes', please specify:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Was crisis management started (internal and/or external)?</th>
</tr>
</thead>
<tbody>
<tr>
<td>If 'Yes', please specify:</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date and time of beginning of the incident</th>
</tr>
</thead>
<tbody>
<tr>
<td>*(if already identified) <em>(DD/MM/YYYY HH:MM)</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Date and time when the incident was restored or is expected to be restored</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>(DD/MM/YYYY HH:MM)</em></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Functional areas affected</th>
</tr>
</thead>
<tbody>
<tr>
<td>Authentication/Authorisation</td>
</tr>
<tr>
<td>Communication</td>
</tr>
<tr>
<td>Clearing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Changes made to previous reports</th>
</tr>
</thead>
<tbody>
<tr>
<td>If 'Other', please specify:</td>
</tr>
</tbody>
</table>

Nur Zur Ansicht
### B 2 - INCIDENT CLASSIFICATION / INFORMATION ON THE INCIDENT

<table>
<thead>
<tr>
<th>Category</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Transactions affected</strong></td>
<td>Impact level</td>
</tr>
<tr>
<td>Number of transactions affected</td>
<td></td>
</tr>
<tr>
<td>As a % of regular number of transactions</td>
<td></td>
</tr>
<tr>
<td>Value of transactions affected in EUR</td>
<td></td>
</tr>
<tr>
<td>Duration of the incident (only applicable to operational incident(s))</td>
<td></td>
</tr>
<tr>
<td>Comments</td>
<td></td>
</tr>
<tr>
<td><strong>Payment service users affected</strong></td>
<td>Impact level</td>
</tr>
<tr>
<td>Number of payment service users affected</td>
<td></td>
</tr>
<tr>
<td>As a % of total payment service users</td>
<td></td>
</tr>
<tr>
<td><strong>Breach of security of network or information systems</strong></td>
<td>Describe how the network or information systems have been affected</td>
</tr>
<tr>
<td><strong>Service downtime</strong></td>
<td>Total service downtime: Days: Hours: Minutes:</td>
</tr>
<tr>
<td><strong>Economic impact</strong></td>
<td>Impact level</td>
</tr>
<tr>
<td>Direct costs in EUR</td>
<td></td>
</tr>
<tr>
<td>Indirect costs in EUR</td>
<td></td>
</tr>
<tr>
<td><strong>High level of internal escalation</strong></td>
<td>Describe the level of internal escalation of the incident, indicating if it has triggered or is likely to trigger a crisis mode (or equivalent) and if so, please describe</td>
</tr>
<tr>
<td><strong>Other PSPs or relevant infrastructures potentially affected</strong></td>
<td>Describe how this incident could affect other PSPs and/or infrastructures</td>
</tr>
<tr>
<td><strong>Reputational impact</strong></td>
<td>Describe how the incident could affect the reputation of the PSP (e.g. media coverage, publication of legal actions or infringements of law...)</td>
</tr>
</tbody>
</table>
### B 3 - INCIDENT DESCRIPTION

**Type of Incident**

- [ ] Under investigation
- [ ] Malicious action
- [ ] Process failure
- [ ] System failure
- [ ] Human errors
- [ ] External events
- [ ] Other

**Cause of incident**

- [ ] Under investigation
- [ ] Malicious action
- [ ] Process failure
- [ ] System failure
- [ ] Human errors
- [ ] External events
- [ ] Other

If 'Other', please specify:

**Was the incident affecting you directly, or indirectly through a service provider?**

- [ ] Directly
- [ ] Indirectly

If 'Indirectly', please provide the service provider's name:

### B 4 - INCIDENT IMPACT

**Overall impact**

- [ ] Integrity
- [ ] Availability
- [ ] Confidentiality
- [ ] Authenticity

**Commercial channels affected**

- [ ] Branches
- [ ] Telephone banking
- [ ] Point of sale
- [ ] E-banking
- [ ] Mobile banking
- [ ] Other
- [ ] E-commerce
- [ ] ATM's

If 'Other', please specify:

**Payment services affected**

- [ ] Cash placement on a payment account
- [ ] Credit transfers
- [ ] Money remittance
- [ ] Cash withdrawal from a payment account
- [ ] Direct debits
- [ ] Payment initiation
- [ ] Operations required for operating a payment account
- [ ] Card payments
- [ ] Account information services
- [ ] Issuing of payment instruments

### B 5 - INCIDENT MITIGATION

**Which actions/measures have been taken so far or are planned to recover from the incident?**

**Have the Business Continuity Plan and/or Disaster Recovery Plan been activated?**

- [ ] Yes
- [ ] No

If so, when? (DD/MM/YYYY HH:MM)

If so, please describe
Please select the type of report: [Final report]  
Please describe: [within 30 working days after the submission of the intermediate report]  
(applicable for incidents reclassified as non-major)  

<table>
<thead>
<tr>
<th>Report date (DD/MM/YYYY)</th>
<th>Time (HH:MM)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**C. - Final report**

If no intermediate report has been sent, please complete also section **B**

**C.1 - GENERAL DETAILS**

Update of the information from the initial report and the intermediate report(s)  
(please specify)

Any other relevant information  
(please specify)

Are all original controls in place?  
[ ] Yes  
[ ] No, specify which controls and the additional period required for their restoration

**C.2 - ROOT CAUSE ANALYSIS AND FOLLOW UP**

What was the root cause (if already known)?

- [ ] Statistical action
- [ ] Hacking
- [ ] System failure
- [ ] Human error
- [ ] External event
- [ ] Other

Please specify:

- [ ] Software code
- [ ] Information gathering
- [ ] Malicious actions
- [ ] Deliberate internal actions
- [ ] Deliberate external physical damage
- [ ] Information security
- [ ] Deliberate actions
- [ ] Other
- [ ] Other, please specify:

Other relevant information on the root cause

Main corrective actions/measures taken or planned to prevent the incident from happening again in the future, if already known

**C.3 - ADDITIONAL INFORMATION**

Has the incident been shared with other PSPs for information purposes?  
[ ] Yes, please provide details:

Has any legal action been taken against the PSP?  
[ ] Yes, please provide details:

Assessment of the effectiveness of the action taken  
(please specify)

C 3 - ADDITIONAL INFORMATION

Major Incident Report within 20 working days after the submission of the intermediate report

C 1 - GENERAL DETAILS

If no intermediate report has been sent, please complete also section B

C 2 - ROOT CAUSE ANALYSIS AND FOLLOW UP

What was the root cause (if already known)?

- [ ] Statistical action
- [ ] Hacking
- [ ] System failure
- [ ] Human error
- [ ] External event
- [ ] Other

Please specify:

- [ ] Software code
- [ ] Information gathering
- [ ] Malicious actions
- [ ] Deliberate internal actions
- [ ] Deliberate external physical damage
- [ ] Information security
- [ ] Deliberate actions
- [ ] Other
- [ ] Other, please specify:

Other relevant information on the root cause

Main corrective actions/measures taken or planned to prevent the incident from happening again in the future, if already known

C 3 - ADDITIONAL INFORMATION

Has the incident been shared with other PSPs for information purposes?  
[ ] Yes, please provide details:

Has any legal action been taken against the PSP?  
[ ] Yes, please provide details:

Assessment of the effectiveness of the action taken  
(please specify)