

Bank of England

Summary of the changes to the Operational Incident Reporting Fields Document post-consultation

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
Column G	-	-	Inclusion of a 'Headline' field.	Firms will be able to see a headline explanation of the field in the technology solution, which is a shortened version of the existing description field in column F.
Column D	-	-	'Initial Phase' reports added as column replacing 'Field Status'.	Change needed to combine 'Initial form', 'Intermediate form' and 'Final form' into one form
Column E	-	-	'Intermediate Phase' reports added as column replacing 'Field Status'.	Change needed to combine 'Initial form', 'Intermediate form' and 'Final form' into one form
Column F	-	-	'Final Phase' reports added as column replacing 'Field Status'.	Change needed to combine 'Initial form', 'Intermediate form' and 'Final form' into one form

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H6	Authority receiving the report	Authority receiving the report	Pre-populated from covering form. The firm/FMI must specify the authority to which the report is addressed—such as the Bank of England, the Prudential Regulation Authority (PRA), or the Financial Conduct Authority (FCA). The selected authority must correspond to the trigger identified in the report (e.g., safety and soundness, financial stability, policyholder protection, consumer harm and market integrity, or disruption of an important business service).	Reflects changes to Initial Phase enabling multiple selection. Firms may submit to one or multiple UK authorities depending on the specific circumstances of the incident.
D6	Authority receiving the report	Authority receiving the report	Field status change from Pre-populated to Required	Amended to enable multiple selection option. Firms may submit to one or multiple UK authorities depending on the specific circumstances of the incident.

Bank of England

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E6	Authority receiving the report	Authority receiving the report	Field status change from Pre-populated to Required	Amended to enable multiple selection option. Firms may submit to one or multiple UK authorities depending on the specific circumstances of the incident.
F6	Authority receiving the report	Authority receiving the report	Field status change from Pre-populated to Required	Amended to enable multiple selection option. Firms may submit to one or multiple UK authorities depending on the specific circumstances of the incident.

Bank of England

H7	Authority receiving the report	Authority receiving the report	<p>The firm/FMI must select the current status of an incident—open, resolved, or closed. This is based on the FSB FIRE Taxonomy:</p> <ul style="list-style-type: none"> - Open: the period between the time of detection and resolution. The firm/FMI is responding to the incident, minimising impact and prioritising recovery. - Resolved: the period between the time of resolution and closure. The immediate impact of the incident has been addressed, though longer-term impacts may take longer to recover from. The firm/FMI is conducting a post-incident review. - Closed: The post incident review has been conducted. Findings, remedial activities and lessons learned have been identified. <p>In the initial report, the firm/FMI would be able to indicate whether an incident is either open or resolved. There might be instances where an firm/FMI might have resolved the incident before its initial submission to the authorities. In this scenario, the firm/FMI would be able to mark the operational incident as resolved in the initial report and would not be required to submit an intermediate report. The firm/FMI would be required to submit a final report</p>	<p>Description for initial report no longer relevant.</p> <p>Field updated to better align description of the fields with the approach taken in the FSB FIRE to describe open, resolved, and closed incidents. Guidance has been replicated across initial and intermediate reports.</p>
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Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
			within 30 working days of resolving the incident, or where this is impracticable, within 60 working days.	
F7	Status of the incident	Status of the incident	Required	Field status change from Not Collected to Required to reflect new form format.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H8	Trigger for reporting the incident	Trigger for reporting the incident	<p>The firm/FMI must select the criteria that triggered the reporting of the operational incident. The firm/FMI must report to the authorities incidents that the firm/FMI assesses pose a risk to their objectives. This includes:</p> <ul style="list-style-type: none"> - Safety and Soundness (PRA/FCA) - Financial Stability (PRA/Bank of England) - Disrupts Important Business Service (Bank of England) - Policyholder protection (PRA) - Consumer harm (FCA) - Market Integrity (FCA) 	<p>Clarifies that the firm should assess whether the incident poses a risk to the regulators' objectives.</p> <p>Clarifies that "Bank" refers to "Bank of England" to avoid confusion with regulated deposit-takers.</p>

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
C9	Is this a notification under the Payment Services Regulations?	-	Is this a notification under the Payment Services Regulations?	Added to incorporate fields for PSD2 incident reporting.
I10	Type of incident	Type of incident	Single Multiple selection from: o Disruption o Data loss	Firms responding to the FCA requested multiple selection as operational incidents may result in both disruption and data loss.
C11	Incident title	Headline to describe incident	Headline to describe incident	Field name change from "Headline to describe incident" to "Incident title"

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H12	Description of the incident	Description of the incident	<p>The firm/FMI must provide any additional details information on description of that help describe the incident, This should including any qualitative information on its the nature of the incident and actions taken or planned for response and recovery, where these are not covered elsewhere in the form. The firm/FMI should focus on including information not already covered by other sections of the report (for example response and recovery actions planned and taken).</p> <p>They may also include indicative or confirmed root cause information, with any qualitative description not already captured in other sections.</p>	Description changed to remove repetition and improve clarity.
A13	Firm/FMI severity rating	Firm/FMI severity rating	INCIDENT DETAILS	Reporting sub-section name changed from "IMPACT ASSESSMENT" for clarity.
B13			SEVERITY RATING	Reporting sub-section name changed from "Initial Impact" for clarity.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H13	Firm/FMI severity rating	Firm/FMI severity rating	<p>The firm/FMI must make an assessment of the severity rating of the incident based on its urgency and impact.</p> <p>The firm/FMI should make this assessment based on its own internal severity rating and incident categorisation, and should use the authorities' reporting criteria based on the FSB FIRE taxonomy. Severity level descriptors are provided under Annex E – Severity Descriptors.</p> <p>The severity ratings include:</p> <ul style="list-style-type: none"> - Low: escalated within relevant functional units. Operational response (e.g. SOC, operations, technology) is sufficient. - Medium: escalated to invocation of crisis management arrangements. - High: escalated to the most senior level of crisis management command. The firm/FMI is activating its most senior command structure. 	Wording amended to clarify what the severity rating should be based on.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H14	Time of the detection	Time of the detection	<p>The firm/FMI must confirm the time at which the incident has been detected.</p> <p>In the intermediate report, the time of detection should be consistent with the time indicated in the initial report or previous intermediate report(s). If the firm/FMI's understanding of the incident evolves, it should consider specifying the change under the description of the incident to inform the authorities.</p> <p>In the final report, the time of detection should be consistent with the time indicated in the initial report or previous intermediate report(s). If the firm/FMI's understanding of the incident evolves, it should consider specifying the change under the description of the incident to inform the authorities.</p>	Wording in description changed to reflect changes to report format and to align to wording from "Initial Form".
B15	Actions planned to recover	Action planned to recover	REMEDIAL ACTIONS/CHANGE(S) SINCE PREVIOUS REPORT	Changed from REMEDIAL ACTIONS to improve clarity.

Bank of England

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H15	Actions planned to recover	Action planned to recover	<p>The firm/FMI must provide an overview of the planned incident response and recovery strategy, including actions planned to bring the incident under control. actions planned to mitigate the impact of an incident, and if available estimated timelines for resolution.</p> <p>In the intermediate phase, firms/FMIs must include an update on any significant changes since the previous phase.</p>	Wording amended in the description to improve clarity.
B16	Actions taken to recover	Actions taken to recover	REMEDIAL ACTIONS/CHANGE(S) SINCE PREVIOUS REPORT	Changed from REMEDIAL ACTIONS to improve clarity.

Bank of England

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H16	Actions taken to recover	Actions taken to recover	<p>The firm/FMI must provide a brief overview of the planned incident response and recovery strategy actions including actions taken to bring the incident under control. already taken to resolve the incident. The firm/FMI should consider adding any relevant information on the technical response or any key decisions taken at a tactical or strategic level.</p> <p>In the intermediate and final phases, firms/FMIs must include an update on any significant changes since the previous phase.</p>	Changes to description reflect changes in report format.
B17	Estimated time to resolve the incident	Estimated time to resolve the incident	DATE / TIME MARKERS	Changed from INCIDENT RESOLUTION TIME for clarity.
D17	Estimated time to resolve the incident	Estimated time to resolve the incident	<p>Optional (if incident status 'open')</p> <p>N/A (if incident status 'Resolved')</p>	Amended to reflect changes to report format.
E17	Estimated time to resolve the incident	Estimated time to resolve the incident	<p>Optional (if incident status 'open')</p> <p>N/A (if incident status 'Resolved')</p>	Changed from 'Required' to reflect changes to report format and reduce reporting burden on firms.

Bank of England

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H17	Estimated time to resolve the incident	Estimated time to resolve the incident	<p>The firm/FMI may has the ability to provide an estimated date and time timeframe for incident resolution.</p> <p>In the initial and intermediate phases form, firms/FMIs may has the ability to provide an indicative timeline and provide an indication of the level of confidence in of the assessment under the actions taken or planned to recover.</p>	Changes to description to improve clarity and reflect changes in report format.
B18	Public reaction to the incident	Public reaction to the incident	REMEDIAL ACTIONS/CHANGE(S) SINCE PREVIOUS REPORT	Changed from 'REMEDIAL ACTIONS' for clarity.

Bank of England

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H18	Public reaction to the incident	Public reaction to the incident	<p>The firm/FMI must (may, where optional) provide additional information on any notable negative media or public discourse resulting from the incident. The firm/FMI should use this optional field to provide additional information on customer complaints, press and social media exposure or any relevant public reaction to the incident that might impact the reputation of the firm/FMI.</p> <p>In the intermediate and final phases, firms/FMIs must include an update on any significant changes since the previous phase.</p>	Changes to description reflect changes in report format and to align with field status change
C19	External communication issued	Public communication issued	External communication issued	Aligns with FSB FIRE’s ‘Communications issued’ field “indicating whether a firm/FMI has issued any broad-based external communications in response to the incident, either publicly or privately.”

Bank of England

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B19	External communication issued	Public communication issued	REMEDIAL ACTIONS/CHANGE(S) SINCE PREVIOUS REPORT	Changed from “Remedial Actions” in Initial Form and “Changes since previous report” in Intermediate and Final Forms for clarity.
D19	External communication issued	Public communication issued	Optional (if incident status 'open') Required (if incident status 'Resolved')	Amended to reflect changes to report format.
E19	External communication issued	Public communication issued	Optional (if incident status 'open') Required (if incident status 'Resolved')	Amended to reflect changes to report format.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H19	External communication issued	Public communication issued	<p>The firm/FMI must (may, where optional) provide a list of all non-financial authorities or relevant agencies (domestic and international) that have been notified of incident. This can should include for example (but is not limited to) other non-financial regulatory authorities, such as the Information Commissioner's Office, or relevant law enforcement or governmental agencies such as the National Cyber Security Centre (NCSC) or the National Crime Agency (NCA).</p> <p>In the intermediate and final phases, firms/FMIs must include an update on any significant changes since the previous phase.</p>	Changes to description to improve clarity and reflect changes in report format.
B20	Other regulatory bodies notified	Other regulatory bodies notified	REMEDIAL ACTIONS/CHANGE(S) SINCE PREVIOUS REPORT	Changed from 'INCIDENT' in Initial Form and "Changes since previous report" in Intermediate and Final forms for clarity.

Bank of England

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H20	Other regulatory bodies notified	Other regulatory bodies notified	<p>The firm/FMI must (may, where optional) provide a list of all non-financial authorities or relevant agencies (domestic and international) that have been notified of incident. This can include for example (but is not limited to) other non-financial regulatory authorities, such as the Information Commissioner's Office, or relevant law enforcement or governmental agencies such as the National Cyber Security Centre (NCSC) or the National Crime Agency (NCA).</p> <p>In the intermediate and final phases, firms/FMIs must include an update on any significant changes since the previous phase.</p>	Changes to description reflect changes in report format and to align with field status change.
D20	Other regulatory bodies notified	Other regulatory bodies notified	Optional	Changed from 'Required'. Reduces burden on firms at the initial reporting stage and aligns with the final FIRE report.
E20	Other regulatory bodies notified	Other regulatory bodies notified	Optional	Changed from 'Required' Reduces burden on firms at the initial reporting stage and aligns with the final FIRE report.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
B21	Incident discovery method	Incident discovery method	INCIDENT DISCOVERY METHOD	Changed from 'INCIDENT' in Intermediate form and Final form for consistency with Initial Form and to reflect changes in report format.
H21	Incident discovery method	Incident discovery method	The firm/FMI must (may, where optional) has the ability to indicate the discovery method of the incident. This must be reflective of how the incident was identified or detected by the firm/FMI. This aligns to the FSB FIRE Taxonomy. The firm/FMI must select one of the categories provided by the authorities, listed under Annex D – Incident Discovery Methodology.	Changes to description align with field status change
D21	Incident discovery method	Incident discovery method	Optional (if incident status 'open') Required (if incident status 'Resolved')	Amended to "required" when incident status resolved else optional.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H22	Time of the resolution	Time of the resolution	The firm/FMI has the ability to must specify the time at which the impacts associated with incident are brought under control and affected services restored to acceptable levels. The firm/FMI should complete this field if the incident has been marked as resolved in the initial report.	Refined description for clarification purposes.
D22	Time of the resolution	Time of the resolution	N/A (if incident status 'open') Required (if incident status 'resolved')	Changed from 'Optional' to NA and required when resolved to reflect changes in report format.
E22	Time of the resolution	Time of the resolution	N/A (if incident status 'open') Required (if incident status 'resolved')	Changed from 'Required (Conditional; if 'resolved')' to NA and required when resolved. Firms must specify the time of resolution if incident status is marked as 'resolved'.
D23	Time of the occurrence (if known)	Time of the occurrence (if known)	Optional	Changed from 'Required'. Firms may not know the time of occurrence and aligns to the final FIRE report.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
E23	Time of the occurrence (if known)	Time of the occurrence (if known)	Optional	Changed from 'Required'. Firms may not know the time of occurrence and aligns to the final FIRE report.
F23	Time of the occurrence (if known)	Time of the occurrence (if known)	Optional	Changed from 'Required'/. Firms may not know the time of occurrence and aligns to the final FIRE report.
H23	Time of the occurrence (if known)	Time of the occurrence (if known)	The firm/FMI may must confirm the time at which the incident is known to have occurred or begun (if known).	Change in description for proportionality.
-	-	Time of the report	Field removed.	Removed as part of technical implementation.
Duration of the incident	Duration of the incident	D24	Pre-populated (Auto calculated)	Added to reflect changes in report format
Duration of the incident	Duration of the incident	E24	Pre-populated (Auto calculated)	Added to reflect changes in report format

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
B25	Name of the business service affected	Name of the business service affected	SERVICES AND RESOURCES	Changed from 'SERVICES AFFECTED' for clarity.

Bank of England

H25	Name of the business service affected	Name of the business service affected	<p>The firm/FMI must (may, where optional) include the name of the business service as it is referred to internally.</p> <p>This field is containerised, allowing multiple business services to be listed separately. For each business service listed, the firm can link the following fields individually:</p> <ul style="list-style-type: none"> – Type of the business service affected – Service disruption type – Important business service classification – Proportion of impact tolerance used – Service downtime – Number of users affected – Percentage of users affected – Number of transactions affected – Percentage of transactions affected – Value of transactions affected 	Changes to description reflect changes in report format and to align with field status change.
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Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
D25	Name of the business service affected	Name of the business service affected	Optional (if incident status 'open') Required (if incident status 'Resolved')	To allow for firms to provide information if the incident status is 'open'. Field is required if incident is resolved.
B26	Type of the business service affected (Function Category)	Type of the business service affected	SERVICES AND RESOURCES	Changed from 'SERVICES AFFECTED' for clarity.
H26	Type of the business service affected (Function Category)	Type of the business service affected	For each business service affected, the firm/FMI must (may, where optional) select the type of the business service affected based on the regulated activities impacted by the operational incident or, if applicable, the economic functions to which the service contributes. The authorities have provided a list of service types to select under Annex A – Function Category.	Changes to description to provide greater clarity of what information should be reported and to reflect changes in report format.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
D26	Type of the business service affected (Function Category)	Type of the business service affected	Optional (if incident status 'open') Required (if incident status 'Resolved')	To allow for firms to provide information if the incident status is 'open'. Field is required if incident is resolved.
H27	Service disruption type	Service disruption type	The firm/FMI must (may, where optional) select the type of disruption affecting each business service. This includes: - Availability Loss (Total, Partial, Intermittent); - Integrity Loss (Manipulation, Corruption, Destruction) - Confidentiality Loss (Unintended/Unauthorised Disclosure, Unauthorised acquisition). The authorities have provided additional information on the available types of disruption under Annex B Disruption Type, aligned with the FSB FIRE taxonomy.	Changes to description to provide greater clarity of what information should be reported and to reflect changes in report format.

Bank of England

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D27	Service disruption type	Service disruption type	Optional (if incident status 'open') Required (if incident status 'Resolved')	Added reflecting changes to report format allowing for firms to provide information if the incident status is 'open'. Field is required if incident is resolved.
C28	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	Is this an Important Business Service? (Initial form) Is this business service considered important? (Intermediate/ Final form)	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	Clarifies that Important Business Service is a defined term under PRA and FCA Operational Resilience rules, and Bank of England guidance.

Bank of England

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B28	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	Is this an Important Business Service? (Initial form) Is this business service considered important? (Intermediate/ Final form)	SERVICES AND RESOURCES	Changed from 'SERVICES AFFECTED' for clarity.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H28	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	<p>Is this an Important Business Service? (Initial form)</p> <p>Is this business service considered important? (Intermediate/ Final form)</p>	<p>The firm/FMI must (may, where optional) confirm if the affected service is classified as an important business service.</p> <p>Firms in scope of the Operational Resilience rules for the PRA, FCA and Bank of England must select either the 'Yes' or 'No' options to confirm whether the service affected has been classified by the firm/FMI as an important business service. Firms not in scope of the Operational Resilience rules may choose 'Not Applicable'.</p>	<p>Changes to reflect changes in report format.</p> <p>Changes to provide greater clarity regarding reporting in scope of Operational Resilience rules.</p>

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
D28	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	<p>Is this an Important Business Service? (Initial form)</p> <p>Is this business service considered important? (Intermediate/ Final form)</p>	<p>Optional (if incident status 'open')</p> <p>Required (if incident status 'Resolved')</p>	<p>To allow for firms to provide information if the incident status is 'open'.</p> <p>Field is required if incident is resolved.</p>

Bank of England

H29	What proportion of an impact tolerance has been used?	What proportion of an impact tolerance has been used?	<p>The firm/FMI must (may, where optional) indicate the percentage amount of the impact tolerance used as a result of the incident. This is applicable only if the business service affected is an important business service.</p> <p>The firm/FMI must measure and express in a percentage amount the impact tolerance threshold being measured for the response and recovery operations. This could include the time metric chosen for the important business service, but it could also include other relevant metrics used by the firm/FMI to determine the impact tolerances.</p> <p>Some high level examples include (but are not limited to):</p> <ul style="list-style-type: none"> - The time metric of the impact tolerance is 24 hours. If the operational incident has lasted for approximately 4 hours, the firm/FMI would have used 16% of the impact tolerance. - The customer complaints metric of the impact tolerance is set at 500 customer complaints. Having received 150 complaints, the firm/FMI has used 30% of its impact tolerance. - The availability metric of the impact tolerance is set at 100 failed transactions. With 25 missed 	<p>Changes to reflect changes in report format.</p> <p>Changes to provide greater clarity of what should be included in final phase.</p>
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Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
			<p>transactions, the firm/FMI has used 25% of its impact tolerance.</p> <p>In the final phase, the firm/FMI must include the total impact tolerance used until service was restored or the immediate impact of the operational incident was mitigated.</p>	
D29	What proportion of an impact tolerance has been used?	What proportion of an impact tolerance has been used?	Optional	Added to reflect changes to report format and to allow for firms to provide information.
E29	What proportion of an impact tolerance has been used?	What proportion of an impact tolerance has been used?	Optional	Changed from Required to Optional to be proportionate.

Bank of England

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F29	What proportion of an impact tolerance has been used?	What proportion of an impact tolerance has been used?	Required	Changed from 'Required (conditional)' to reflect change in report formatting.
H30	Service downtime	Service downtime	The firm/FMI must specify the (minimum) time period in hours from service being fully or partially unavailable to external end-users until regular activities or operations have been restored. The field is mandatory if the firm/FMI selects resolved as incident status.	Reference to incident status removed as this is reflected in field status and for each phase,
D30	Service downtime	Service downtime	N/A (if incident status 'open') Required (if incident status 'resolved')	Added reflecting changes to report format allowing for firms to provide information if the incident status is 'open'. Field is required if incident is resolved.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
E30	Service downtime	Service downtime	N/A (if incident status 'open') Required (if incident status 'resolved')	Change from just 'Required (conditional; if Resolved)' reflecting changes to report format allowing for firms to provide information if the incident status is 'open'.
F30	Service downtime	Service downtime	Required	Changed from 'Required (conditional)' to reflect change in report formatting.
H31	Number of affected customers	Number of affected customers	The firm/FMI must (may, where optional) include the (approximate) total number of end users external to the firm affected for a specific service. At both the initial (resolved) and intermediate phases, this field is mandatory for firms reporting under their PSD2 requirements.	Change reflecting changes to report format and incident status field. Change to include description of field status under PSD2 requirements.
E31	Number of affected customers	Number of affected customers	Optional; Required (Conditional; PSD2)	Added requirement under PSD2

Bank of England

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H32	Percentage of service users affected	Percentage of service users affected	<p>The firm/FMI must (may, where optional) include the percentage of specific service’s user base affected relative to total. The firm/FMI can express the figure in a percentage format.</p> <p>At both the initial (resolved) and intermediate phases, this field is mandatory for firms reporting under their PSD2 requirements.</p>	<p>Change reflecting changes to report format and incident status field.</p> <p>Change to include description of field status under PSD2 requirements.</p>
E32	Percentage of service users affected	Percentage of service users affected	<p>Optional;</p> <p>Required (Conditional; PSD2)</p>	Added requirement under PSD2
H33	Percentage of transactions affected	Percentage of transactions affected	<p>The firm/FMI must (may, where optional) include the percentage of specific service’s user base affected relative to total. The firm/FMI can express the figure in a percentage format.</p> <p>At both the initial (resolved) and intermediate phases, this field is mandatory for firms reporting under their PSD2 requirements.</p>	<p>Change reflecting changes to report format and incident status field.</p> <p>Change to include description of field status under PSD2 requirements.</p>

Bank of England

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E33	Percentage of transactions affected	Percentage of transactions affected	Optional; Required (Conditional; PSD2)	Added requirement under PSD2
H34	Value of transactions affected	Value of transactions affected	The firm/FMI must (may, where optional) include the value of transactions affected for a specific service. If the operational incident is not resulting in disruption to transactions, the firm/FMI may add '0' as a value. At both the initial (resolved) and intermediate phases, this field is mandatory for firms reporting under their PSD2 requirements.	Change reflecting changes to report format and incident status field. Change to include description of field status under PSD2 requirements.
E34	Value of transactions affected	Value of transactions affected	Optional; Required (Conditional; PSD2)	Added requirement under PSD2

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H35	Number of transactions affected	Number of transactions affected	<p>The firm/FMI must (may, where optional) include the number of transactions affected for a specific service. If the operational incident is not resulting in disruption to transactions, the firm/FMI may add '0' as a value.</p> <p>At both the initial (resolved) and intermediate phases, this field is mandatory for firms reporting under their PSD2 requirements.</p>	<p>Change reflecting changes to report format and incident status field.</p> <p>Change to include description of field status under PSD2 requirements.</p>
E35	Number of transactions affected	Number of transactions affected	<p>Optional;</p> <p>Required (Conditional; PSD2)</p>	Added requirement under PSD2
B36	Level of geographic spread	Level of geographic spread	SEVERITY RATING	Changed from "INITIAL IMPACT" for clarity.

Bank of England

H36	Level of geographic spread	Level of geographic spread	<p>The firm/FMI must (may, where optional) provide an indication of how widespread the geographical impact of the incident might be. The authorities have aligned this approach with the FSB FIRE taxonomy. The geographical spread might change as response and recovery operations progress. This can include:</p> <ul style="list-style-type: none"> – Local: the impact is within the same urban centre – Regional: the impact is limited to territorial divisions within a jurisdiction (e.g. counties, municipalities) – National: the impact has been identified through a single jurisdiction. – Multi-jurisdictional: the impact has been assessed through multiple jurisdictions – Global: the impact has been identified across a majority of jurisdictions in multiple continents. <p>The authorities have aligned this approach with the FSB FIRE taxonomy. The geographical spread might change as response and recovery operations progress.</p>	Change reflecting changes to report format and incident status field.
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Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
D36	Level of geographic spread	Level of geographic spread	Optional (if incident status 'open') Required (if incident status 'Resolved')	To allow for firms to provide information if the incident status is 'open'. Field is required if incident is resolved.
C37	Affected party type(s)	Parties affected	Affected party type(s)	Clarifies field's intent to identify types of affected parties, not affected parties themselves, and aligns with the final FIRE report.
B37	Affected party type(s)	Parties affected	AFFECTED PARTIES	Changed from 'SERVICES AND RESOURCES' for clarity.
D37	Affected party type(s)	Parties affected	Optional	Added to reflect changes to report format and to allow for firms to provide information.

Bank of England

H37	Affected party type(s)	Parties affected	<p>The firm/FMI must (may, where optional) has the ability to specify the types of other parties directly affected by the service disruption from or as a result of the same incident, but not via the reporting firm/FMI. This is based on the FSB FIRE Taxonomy. The geographical spread might change as response and recovery operations progress. The firm/FMI could indicate the type of affected party by the incident. This includes:</p> <ul style="list-style-type: none"> - Entities within the group: another firm/FMI within the same group affected by the incident (other than the reporting firm/FMI) - Business counterparties: a separate financial institution with which the reporting firm/FMI has a pre-existing relationship - Third party vendor or service providers: a resource or service provider responsible for delivering any material third party arrangement to the reporting firm/FMI. - Customer/consumers: affected customers/consumers, as defined in the PRA Rulebook and FCA Handbook, and for Bank firms participants, or clearing members as relevant. 	Changes to description for clarification and to aligns with the final FIRE report taxonomy.
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Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
			<p>–Vulnerable customers: affected vulnerable customers as defined in the FCA Guidance (FG21/1).</p> <p>–General Public: people/individuals in society with no relationship to the reporting entity or entities within the same group.</p> <p>–Other financial market participants: separate financial entities affected by the incident (not captured by the other categories)</p> <p>–Other: other non-financial entities not included by other categories.</p> <p>–None: No other entities affected by the incident.</p>	
C38	Related affected entities	Entities affected	Related affected entities	Clarifies firms should list all related entities (i.e. entities within the same organisation) affected by the incident and aligns with the final FIRE report.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
B38	Related affected entities	Entities affected	AFFECTED PARTIES	Changed from 'SERVICES AND RESOURCES' for clarity.
D38	Related affected entities	Entities affected	Optional	Added to reflect changes to report format and to allow for firms to provide information
H38	Related affected entities	Entities affected	The firm/FMI must (may, where optional) has the ability to provide a list of all entities related to the reporting firm/FMI affected by the incident within the same organisation. The firm/FMI should enter FRN of related entity, or an LEI where FRN is not available, to facilitate identification of firm/FMI. Where neither of these identifiers are available, the firm/FMI should enter 'N/A'. has an option to include a LEI identifier to facilitate identification of firm/FMI. If this is not available, the firm/FMI can provide any optional additional information on the affected entities.	Change to include use of FRN and to clarify alternative steps.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
C39	Cause type	Indicative root cause	Cause type	(Initial form) Field name changed from “indicative root cause” for alignment, reflecting changes to report format.
A39	Cause type	Indicative root cause	INCIDENT CLOSURE	(Initial form) Changed from "INCIDENT CAUSES" for alignment, reflecting changes to report format.
B39	Cause type	Indicative root cause	CAUSE	(Initial form) Changed from "ROOT CAUSE" for alignment, reflecting changes to report format.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H39	Cause type	Indicative root cause	<p>The firm/FMI must (may, where optional) select the root cause of the incident. The categories provided by the authorities follow the FSB FIRE descriptors and include: hazards, human causal factors, information system and process failures, external dependency failures, and malicious acts.</p> <p>During the initial and intermediate phases, the firm/FMI may provide an indicative root cause of the operational incident. In the final phase, the firm/FMI must include the confirmed root cause of the operational incident, as outlined in the post-incident review.</p> <p>Further information on the root cause descriptors is provided under Incident Root Cause categories listed in Annex C – Root Cause Tags.</p>	<p>Change to reflect changes to report format.</p> <p>Change to clarify the expected contents of report at each phase,</p>
D39	Cause type	Indicative root cause	Optional	<p>Changed from 'Required'. Changes the field status from required to optional reduces the reporting burden on firms at the initial incident stage and aligns to final FSB report.</p>

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
E39	Cause type	Indicative root cause	Optional	Changed from 'Required'. Changes the field status from required to optional reduces the reporting burden on firms at the initial stage and aligns to final FSB report.
C40	Origin of the incident	Incident Origin	Origin of the incident	Changed from "Incident Origen" for clarity.
A40	Origin of the incident	Origin of the incident	INCIDENT CLOSURE	Changed from 'INCIDENT CAUSES' for clarity.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H40	Origin of the incident	Incident Origin	<p>The firm/FMI must (may, where optional) select a high level categorisation of the incident origin. This should include whose or what actions cause or contributed to the operational incident.</p> <ul style="list-style-type: none"> o Internal: a firm/FMI resource employed directly by the firm/FMI o External: a resource with no relationships with the firm/FMI o Third Party: a resource or service provider responsible for delivering any third party arrangement to the reporting firm/FMI. o Unknown o Other 	Change to reflect changes to report format.
D40	Origin of the incident	Incident Origin	Optional	Changed from 'Required' to be proportionate.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
A41	If third party, third party provider name	If third party, third party provider name	INCIDENT CLOSURE	Changed from 'INCIDENT CAUSES' for clarity.
H41	If third party, third party provider name	If third party, third party provider name	If Origin of the incident is 'Third Party' Where an incident originates from a third party, the firm/FMI must specify the name of the affected third party with which it has an arrangement.	Change to align with Origin of the incident field.
C42	Third party provider Legal Entity Identifier	if third party, third party provider LEI	Third party provider Legal Entity Identifier	Field name changed for clarity.
A42	Third party provider Legal Entity Identifier	if third party, third party provider LEI	INCIDENT CLOSURE	Changed from 'INCIDENT CAUSES' for clarity,
H42	Third party provider Legal Entity Identifier	if third party, third party provider LEI	Where an incident originates from a third party, the firm/FMI must provide the affected third party LEI. If the LEI is not available, the firm/FMI can use a free option to provide relevant information. If Origin of the incident is 'Third Party', the firm/FMI must specify the LEI of the service provider. Where an LEI is not available, the firm/FMI must enter 'N/A'.	Change reflecting understanding that firms may not be able to provide an LEI should the service provider not hold one. Where an LEI exists for the service provider this should be provided.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
A43	Time of the closure	Time of the closure	INCIDENT CLOSURE	Changed from 'IMPACT DETAILS' for clarity
H43	Time of the closure	Time of the closure	The firm/FMI must confirm the date and time when the incident was closed and the root cause(s) .	Change to reflect the root cause may not be known.
D44	Type of resource affected	Type of resource affected	NA	Changed from "optional" to NA for initial phase.
E44	Type of resource affected	Type of resource affected	NA	Changed from "optional" to NA for intermediate phase.
A45	Resource affected properties	Resource affected properties	INCIDENT CLOSURE	Changed from 'IMPACT ASSESSMENT' for clarity

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H45	Resource affected properties	Resource affected properties	<p>The firm/FMI must describe the properties of the resources affected by the operational incident. This aligns to the FSB FIRE Taxonomy. Additional information on the different types of disruption is listed under Annex G: Resource Properties.</p> <p>The firm/FMI has the ability to indicate the type of disruption affecting the indicated resource. Additional information on the different types of disruption is listed under Annex B – Disruption Type</p>	Amended incorrect reference to the Annex from Annex B to Annex G: Resource Properties.
E45	Resource affected properties	Resource affected properties	NA	Changed from "optional" to NA at intermediate phase to reflect change in reporting format.
H47	Describe the remedial action being taken	Describe the remedial action being taken	For each lesson identified, the firm/FMI must include an overview of the remediation actions identified as part of the post-incident review. The firm/FMI must include the estimated date for completion of the remediation activity for each action identified.	Change to clarify information should be provided “for each lesson identified”.

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
H48	Any supplementary documents	Any supplementary documents	The firm/FMI has the ability to include any additional post-incident documentation, as preferred. The field is not mandatory; it will provide the option for firms/FMIs to include any relevant attachments to the form final report .	Firms have the option to upload supplemental documentation across all three stages of reporting.
D48	Any supplementary documents	Any supplementary documents	Optional	Added to reflect changes to report format and to allow for firms to provide information
E48	Any supplementary documents	Any supplementary documents	Optional	Added to reflect changes to report format and to allow for firms to provide information
	NA	Phase of incident report removed		Field removed to avoid repetition in the report.
	NA	If multi-jurisdictional, list of geographic codes		Field removed

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
	NA	Estimate or actual figures for affected customers		Field removed
	NA	Standardised reputational impact		Field removed
	NA	Contextual reputational impact		Field removed
	NA	Notes about the impact		Field removed
	NA	Cause Strength		Field removed
	NA	Notes about the incident cause		Field removed

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
	NA	Firm/FMI's internal ID for the incident		Field removed to avoid repetition in the report. This field will be available in the covering form.
	NA	Authority's internal ID for the incident		Field removed to avoid repetition in the report. This field will be available in the covering form.
16	Authority receiving the report	Authority receiving the report	String based enumerated list - see Taxonomies Index tab. Multiple selection	Change as part of technical implementation
17	Status of the incident	Status of the incident	String based enumerated list - see Taxonomies Index tab. Single selection	Change as part of technical implementation
18	Trigger for reporting the incident	Trigger for reporting the incident	String based enumerated list - see Taxonomies Index tab. Multiple selection	Change as part of technical implementation
113	Firm/FMI severity rating	Firm/FMI severity rating	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex A for further details. Single selection	Change as part of technical implementation

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
I20	Other regulatory bodies notified	Other regulatory bodies notified	Long text	Change as part of technical implementation
I21	Incident discovery method	Incident discovery method	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex B for further details. Single selection	Change as part of technical implementation
I24	Duration of the incident	Duration of the incident	Integer	Change as part of technical implementation
I26	Type of business service affected (Function Category)	Type of the business service affected	String based enumerated field. Options listed under Annex A - Service Category.	Change as part of technical implementation
I27	Service disruption type	Service disruption type	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex C for further details. Multiple selection	Change as part of technical implementation

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
I28	Is the affected service classified as an Important Business Service under FCA, PRA or Bank of England rules?	Is this an Important Business Service?	String based enumerated list - see Taxonomies Index tab. Single selection	Change as part of technical implementation
I29	What proportion of an impact tolerance has been used?	What proportion of an impact tolerance has been used?	Integer 0 -100	Change as part of technical implementation
I30	Service downtime	Service downtime	Integer Non-negative	Change as part of technical implementation
I31	Number of affected customers	Number of affected customers	Integer Non-negative	Change as part of technical implementation

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
I32	Percentage of service users affected	Percentage of service users affected	Integer 0 -100	Change as part of technical implementation
I33	Percentage of transactions affected	Percentage of transactions affected	Integer 0 -100	Change as part of technical implementation
I34	Value of transactions affected	Value of transactions affected	Integer Non-negative	Change as part of technical implementation
I35	Number of transactions affected	Number of transactions affected	Integer Non-negative	Change as part of technical implementation
I36	Level of geographic spread	Level of geographic spread	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex D for further guidance. Single selection	Change as part of technical implementation
I37	Affected party type(s)	Parties affected	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex E for further guidance. Multiple selection	Change as part of technical implementation

Bank of England

Cell / Row / Column Reference	Field name – PS	Field name – CP	Final policy status of cell/row/column reference (where appropriate, deletions have struck through)	Summary of changes made and rationale
I38	Related affected entities	Entities affected	String	Change as part of technical implementation
I39	Cause type	Indicative root cause	String based enumerated list - see Taxonomies Index tab. Single selection	Change as part of technical implementation
I40	Origin of the incident	Incident Origin	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex F for further guidance. Single selection	Change as part of technical implementation
I42	Third party provider Legal Entity Identifier	if third party, third party provider LEI	String	Change as part of technical implementation
I44	Type of resource affected	Type of resource affected	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex G for further guidance. Multiple selection	Change as part of technical implementation
I45	Resource affected properties	Resource affected properties	String based enumerated list - see Taxonomies Index tab for dropdown values & Annex H for further guidance. Multiple selection	Change as part of technical implementation