



# Major ICT-related Incident Notification - User Guide

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# Major ICT-related Incident Notification - User Guide

## Update Information

Date	Update
27/03/2024	First publication

### 1. Introduction

Circular CSSF 24/847 requires entities subject to the supervision of the CSSF to notify the CSSF of major ICT-related incidents. These notifications are required to be submitted either via an eDesk procedure, called “**Major ICT-related Incident Notification**” procedure, or via an API (S3 protocol), both established by the CSSF.

The eDesk Portal allows Supervised Entities to:

- fill in and submit major ICT-related incident notifications with attachments online in three phases: Initial notification (“Initial information”); Intermediate notification (“Incident cause, classification and impact”); and Final notification (“Root cause, follow up and additional information”).
- exchange comments with the CSSF regarding each notified major ICT-related incident.
- submit updates of notifications when applicable.

The S3 protocol allows Supervised Entities to perform a) and c) above.

Definitions, criteria, notification deadlines and other details regarding the reporting obligations are available in Circular CSSF 24/847.

The purpose of this document is to guide the user(s) for:

- the completion and submission of the **Major ICT-related Incident Notification** form accessible on the eDesk Portal;
- the completion and submission of the **Major ICT-related Incident Notification** via the S3 protocol.

Should Supervised Entities experience difficulties in creating an account or in case of technical difficulties to submit a notification, please contact the CSSF via email at: [edesk@cssf.lu](mailto:edesk@cssf.lu)

Should Supervised Entities have any questions in relation to the timeline or the content of the notifications to be submitted, please contact the CSSF via email at: [ictrisksupervision@cssf.lu](mailto:ictrisksupervision@cssf.lu)

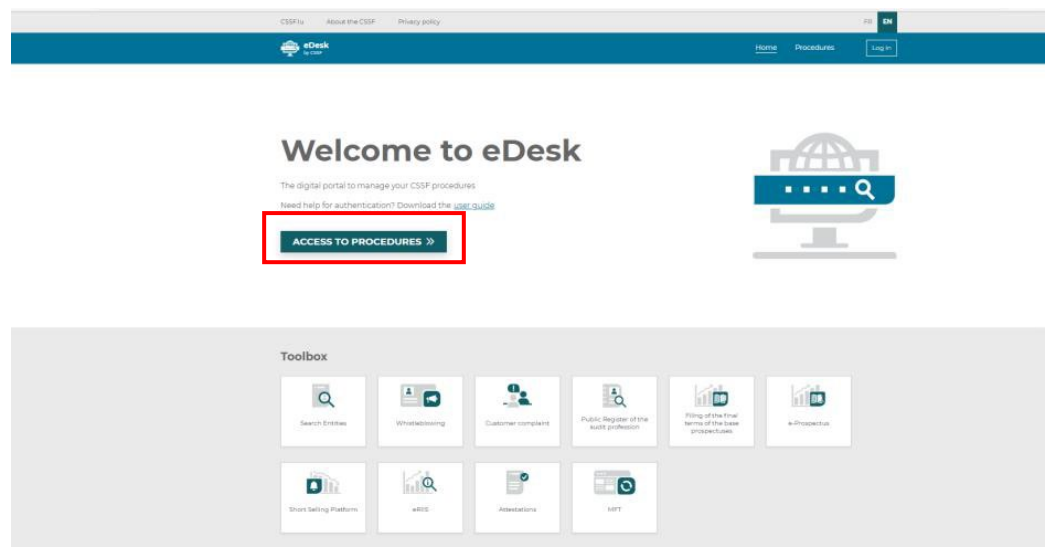
## 2. Notification via the eDesk Portal

### 2.1 Connection to the eDesk Portal

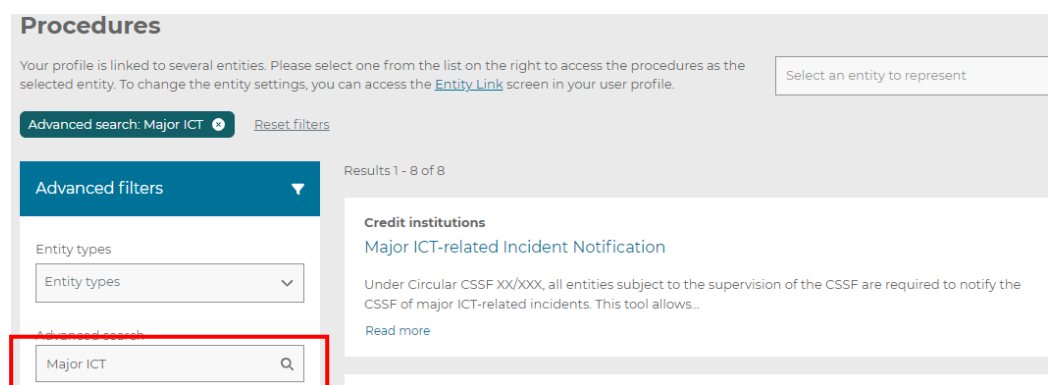
#### 2.1.1 Authentication and connection to the eDesk Portal

**Important:** The prerequisites enabling the connection to eDesk and the initiation of a notification (activation of an entity link, ...) are detailed in the eDesk Authentication User Guide on the eDesk Portal homepage (<https://edesk.apps.cssf.lu/edesk-dashboard/dashboard/getstarted>). Please refer to the eDesk Authentication User Guide.

#### 2.1.2 Access to the Major ICT-related Incident Notification procedure



From the eDesk homepage, to find the Major ICT-related Incident Notification procedure, click on the **"Access to procedures"** button and then type **"Major ICT"** in the **"Advanced search"** bar. The user can select the corresponding procedure by clicking on the corresponding link.



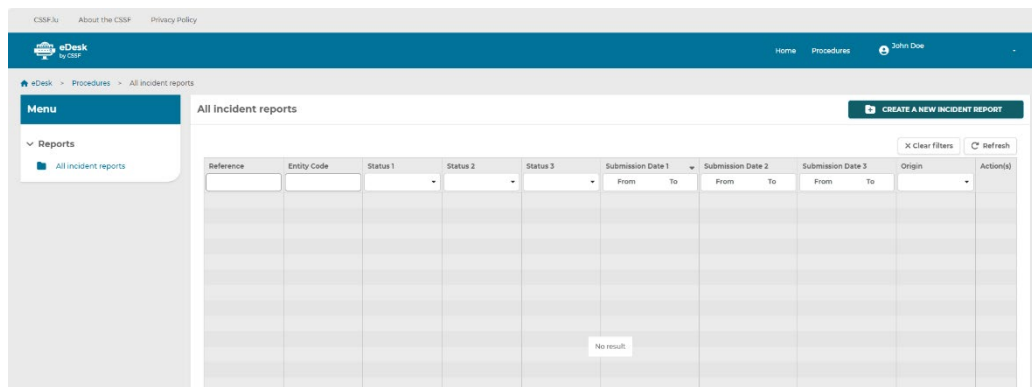
**Important:** The "IT Incident Notifier" role is required to access and manage the filing of Major ICT-related Incident Notifications. The roles existing in eDesk and allowing access to this eDesk module are detailed in the eDesk Authentication User Guide on the eDesk Portal homepage (<https://edesk.apps.cssf.lu/edesk-dashboard/dashboard/getstarted>). Please request the role from the advanced user of your entity.

For information, the eDesk homepage screen is split as follows:

- The **Header** is the upper part of the screen where the user can find:
  - The **navigation menu** that shows several useful links. "CSSF.lu" takes the user back to the CSSF website. "About the CSSF" and "Privacy policy" take the user to the dedicated CSSF website sections respectively about the CSSF and its privacy policy.
  - The **language option** (FR or EN) is available on each screen, and it is possible to switch between languages throughout the authentication procedure.
  - The **"Log in"** button takes the user to the screen to be used to connect to the eDesk Portal.
  - The **"Procedures"** button takes the user to the "Log in" page if the user is not connected yet or to the procedures list.
- The **Toolbox** gathers several E-Services (modules) that do not require an authentication.
- The **News** section presents the latest information related to eDesk.
- The **Footer** at the bottom of the screen is non-interactive.

## 2.2 Dashboard of the major ICT-related incident notifications

When connecting to the module, the main part of the page is a dashboard providing a general view of all the notifications created by the Supervised Entity, with usual filtering and sorting functionalities.



The screenshot shows the eDesk interface. At the top, there's a navigation bar with 'eDesk by CSSF' logo, 'Home', 'Procedures', and a user profile 'John Doe'. Below this, a sidebar menu shows 'Reports' and 'All incident reports'. The main area is titled 'All incident reports' and contains a table with the following columns: Reference, Entity Code, Status 1, Status 2, Status 3, Submission Date 1, Submission Date 2, Submission Date 3, Origin, and Action(s). The table is currently empty, showing a 'No result' message. There are also buttons for 'CREATE A NEW INCIDENT REPORT', 'Clear filters', and 'Refresh'.

The dashboard contains the following columns:

- **Reference:** Reference of the major ICT-related incident notification, automatically assigned once a notification is submitted,
- **Entity code:** CSSF code of the Supervised Entity,
- **Status 1:** Status of the first section of the form "Initial information". The value of each status can be either "Draft", "Submitted" or "Closed",
- **Status 2:** Status of the second section of the form "Incident cause, classification and impact",
- **Status 3:** Status of the third section of the form "Root cause, follow up and additional information",
- **Submission Date 1:** Date of submission of the first section of the form,
- **Submission Date 2:** Date of submission of the second section of the form,
- **Submission Date 3:** Date of submission of the third section of the form,
- **Origin:** The submission channel through which the incident was submitted to the CSSF. The value will be either "eDesk" or "S3",
- **Action(s):** The Supervised Entity can "open" the notification form by clicking on the "folder" icon. The entity can also double-click on a given line to consult a form.

Above the dashboard, a top banner contains several links and useful information:

- a link to the **global eDesk** dashboard (by clicking on the eDesk logo or "**Home**"),
- a link to the procedures accessible by the connected Supervised Entity user (by clicking on "**Procedures**"),
- the **name** of the user connected and corresponding Supervised Entity name (*not visible in the above illustration*), with a small arrow on the right which can be used to access:
  - the "User profile" by clicking "Manage profile",
  - the "Entity management" (available only for the advanced users), and

- the Logout functionality.

Below the top banner is a button labelled **“CREATE NEW INCIDENT REPORT”**, which allows the Supervised Entity to create a new incident notification. Further details are provided in the next section.

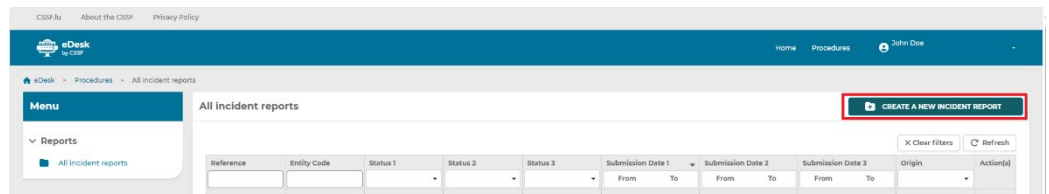
## 2.3 The major ICT-related incident notification form

The following actions are possible:

- Creation of a new notification
- Modification of a submitted notification
- Reclassification of an incident
- Addition of document(s) to the notification form
- Exchange of comment(s) with the CSSF

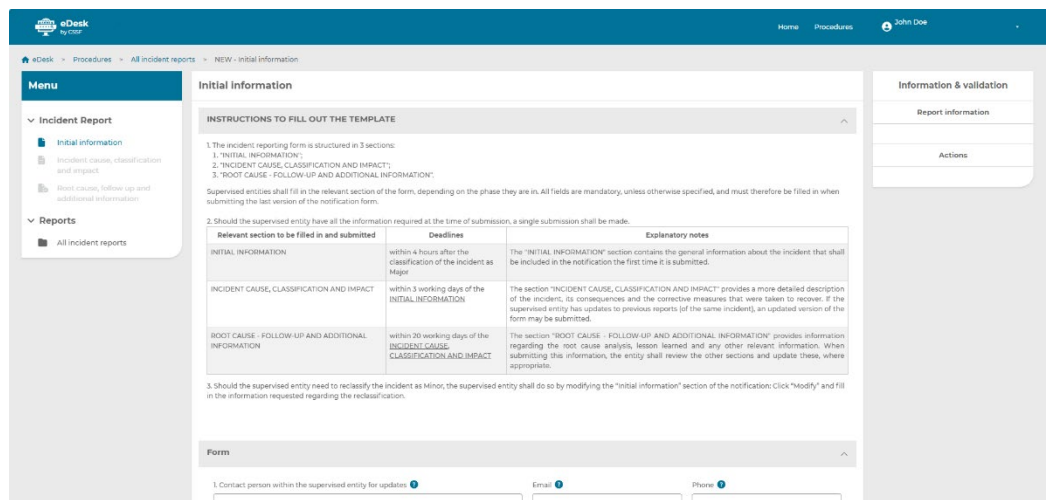
### 2.3.1 Creation of a new notification

To create a new major ICT-related incident notification, the user shall click on the **“CREATE A NEW INCIDENT REPORT”** button on the dashboard page.



The screenshot shows the eDesk dashboard. At the top, there are links for 'CSSF.lu', 'About the CSSF', and 'Privacy Policy'. Below this is a navigation bar with 'Home', 'Procedures', and a user profile 'John Doe'. The main content area is titled 'All incident reports' and features a table with columns: Reference, Entity Code, Status 1, Status 2, Status 3, Submission Date 1, Submission Date 2, Submission Date 3, Origin, and Action(s). A red box highlights the 'CREATE A NEW INCIDENT REPORT' button in the top right corner of the dashboard.

Once the button is clicked, a new incident notification page opens.



The screenshot shows the 'Initial information' page. It includes a sidebar menu with 'Incident Report' and 'Reports'. The main content area is titled 'Initial information' and contains instructions for filling out the template. The instructions are divided into three sections: 1. 'INITIAL INFORMATION', 2. 'INCIDENT CAUSE, CLASSIFICATION AND IMPACT', and 3. 'ROOT CAUSE - FOLLOW-UP AND ADDITIONAL INFORMATION'. Each section has a 'Relevant section to be filled in and submitted' column, a 'Deadlines' column, and an 'Explanatory notes' column. The 'Form' section at the bottom has fields for 'Contact person within the supervised entity for updates', 'Email', and 'Phone'.

To ease the navigation within the form, sub-sections can be reduced by clicking on the greyed out sub-section's title.

### 2.3.1.1

### Description of the notification form structure

The screenshot shows the 'NEW - Initial information' page. A dashed red box labeled 'A' encompasses the left-hand navigation menu. Another dashed red box labeled 'B' encompasses the main form area, which includes sections for 'Initial Information', 'Form', 'Documents', and 'Comments'. A third dashed red box labeled 'C' encompasses the right-hand 'Information & validation' section, which contains 'Report information' and 'Actions' buttons.

#### 2.3.1.1.1

#### Navigation Menu (A)

This screenshot shows the 'Menu' section of the interface. It is divided into two main categories: 'Incident Report' and 'Reports'. Under 'Incident Report', there are three items: 'Initial information' (highlighted with a blue icon), 'Incident cause, classification and impact', and 'Root cause, follow up and additional information'. Under 'Reports', there is one item: 'All incident reports'.

The left part of the screen is dedicated to:

- the navigation within the following three sections of the notification form:
  - "Initial notification",
  - "Incident cause, classification and impact",
  - "Root cause, follow up and additional information"
- "All incident reports": this allows the Supervised Entity to return to the main dashboard and access the ongoing or completed notifications.

#### 2.3.1.1.2

#### The information to be filled in by the Supervised Entity (B)

This screenshot shows the main form area (B) of the notification form. It contains four sections: 'INSTRUCTIONS TO FILL OUT THE TEMPLATE' (labeled B1), 'Form' (labeled B2), 'Documents' (labeled B3), and 'Comments' (labeled B4). Each section has a dropdown arrow on its right side.

The main part of the notification page devoted to form information, identified in the figure above as "B", is the part of the screen where the metadata relating to the incident notification is displayed. This part is made up of the following sub-sections:

- B1: "INSTRUCTIONS TO FILL OUT THE TEMPLATE"**
- B2: "Form",**



- **B3: "Documents"**, and
- **B4: "Comments"**

#### 2.3.1.1.2.1

#### INSTRUCTIONS TO FILL OUT THE TEMPLATE (B1)

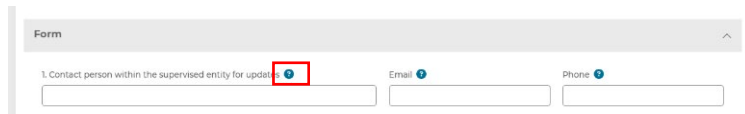
"**INSTRUCTIONS TO FILL OUT THE TEMPLATE**" is only available in the first section, "Initial information", of the incident notification form. It provides, amongst others, general information regarding the structure of the notification, the reporting deadlines to be met by the supervised entities and the possibilities for reclassification of the incident.

#### 2.3.1.1.2.2

#### Form (B2)

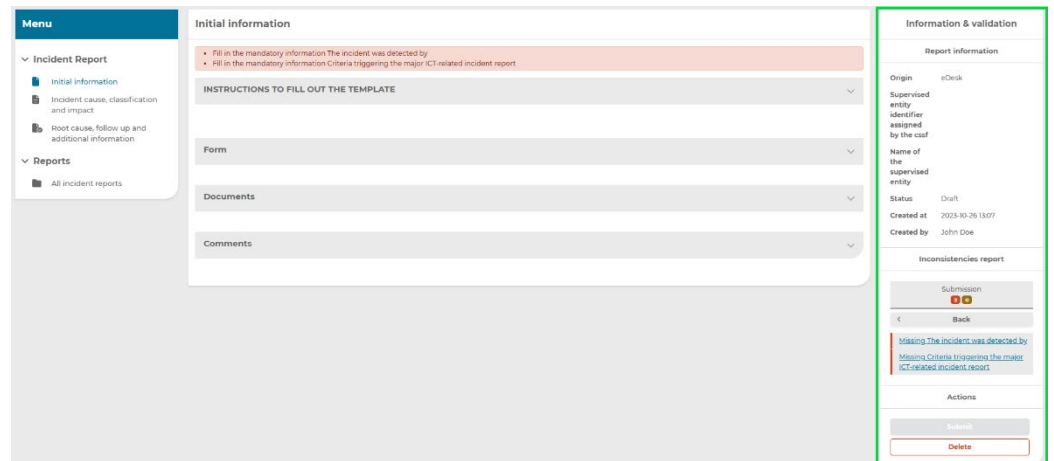
The "**Form**" part contains the questions related to the incident, to be answered by the Supervised Entity. This part exists in the three sections of the notification form.

Explanatory notes are available by hovering over the "question mark" symbol to provide further explanations regarding the information to be provided by the Supervised Entity.



#### 2.3.1.1.3

#### Information and validation (C)



The "**Information & validation**" section of the screen covers the following:

- "**Report information**": Provides general information of the Supervised Entity such as the Supervised Entity's name and code, the status of the notification, the creation date and the user who created the notification.

- **“Inconsistencies report”**: Displays the potential missing information and inconsistencies to be resolved by the Supervised Entity before submitting the notification to the CSSF.
- **“Actions”**: These are action buttons that represent actions that can be taken by the user at any given point in time. Actions could be for example, Submit, Delete or Modify. When actions are “greyed”, the action button cannot be clicked. This may be due to the fact that the report is incomplete or the incident has been closed on the CSSF’s side.

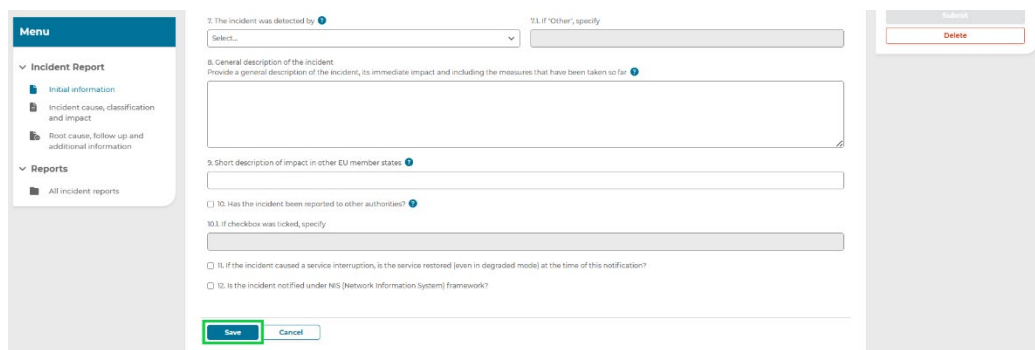
### 2.3.1.2 *Filling in the first draft of a notification*

Once a new incident notification form is created, the user can fill in the requested information. The user can complete and submit the relevant sections of the notification form.

Each section of a notification form can be accessed by clicking on the corresponding name of the section in the navigation Menu.

- **Initial information**: This section gathers the general information about the incident.
- **Incident cause, classification and impact**: This second section provides a more detailed description of the incident, its consequences and the corrective measures that were taken to recover.
- **Root cause, follow up and additional information**: This third section provides information regarding the root cause analysis, lessons learned and any other relevant information. When submitting this information, the Supervised Entity shall review the other sections and update these, where appropriate.

The user shall always save the filled in information by clicking on the **“Save”** button at the bottom of the section prior to submitting any section of an incident notification.



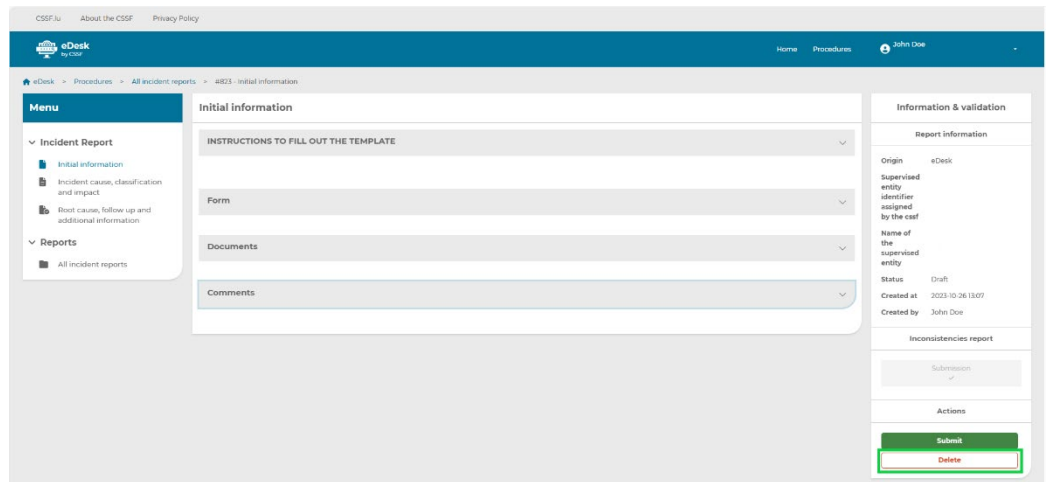
Any saved section will have the status “Draft” and will not yet be visible by the CSSF.

The already saved draft data can be deleted any time before the information is submitted to the CSSF via the dedicated “Delete” action button.

### 2.3.1.3 Deletion of a draft notification

A notification at status "Draft" can be deleted by the Supervised Entity by clicking on the **"Delete"** action button in the "Information & validation" section.

Any deleted notification cannot be restored and has to be reinitiated.

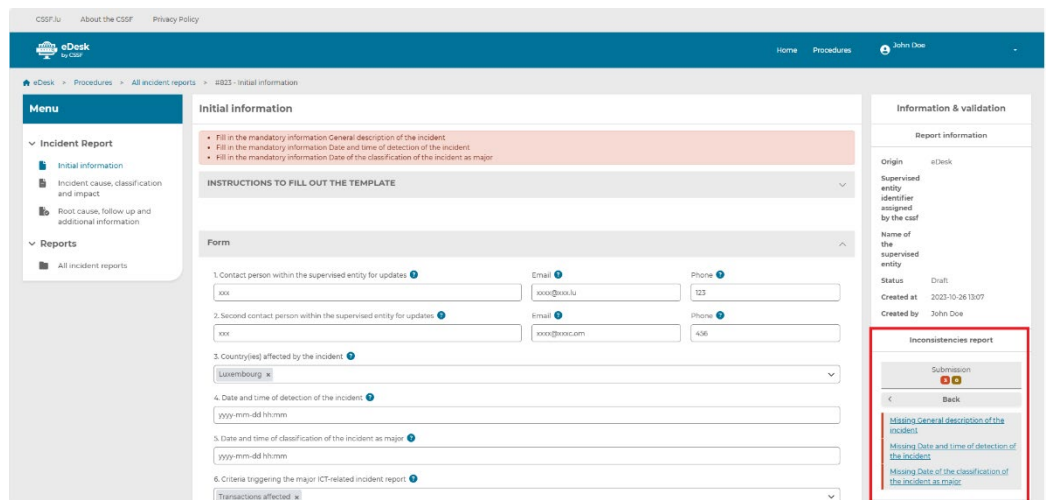


The screenshot shows the eDesk interface for a draft notification. The left sidebar contains a 'Menu' with 'Incident Report' and 'Reports'. The main area is titled 'Initial information' and contains sections for 'INSTRUCTIONS TO FILL OUT THE TEMPLATE', 'Form', 'Documents', and 'Comments'. On the right, the 'Information & validation' section shows report information, including 'Origin: eDesk', 'Supervised entity identifier assigned by the csaf', 'Name of the supervised entity', 'Status: Draft', 'Created at: 2023-10-26 13:07', and 'Created by: John Doe'. Below this, the 'Inconsistencies report' section shows a 'Submission' status. At the bottom, the 'Actions' section contains 'Submit' and 'Delete' buttons, with 'Delete' highlighted by a red box.

### 2.3.1.4 Submission of a draft notification

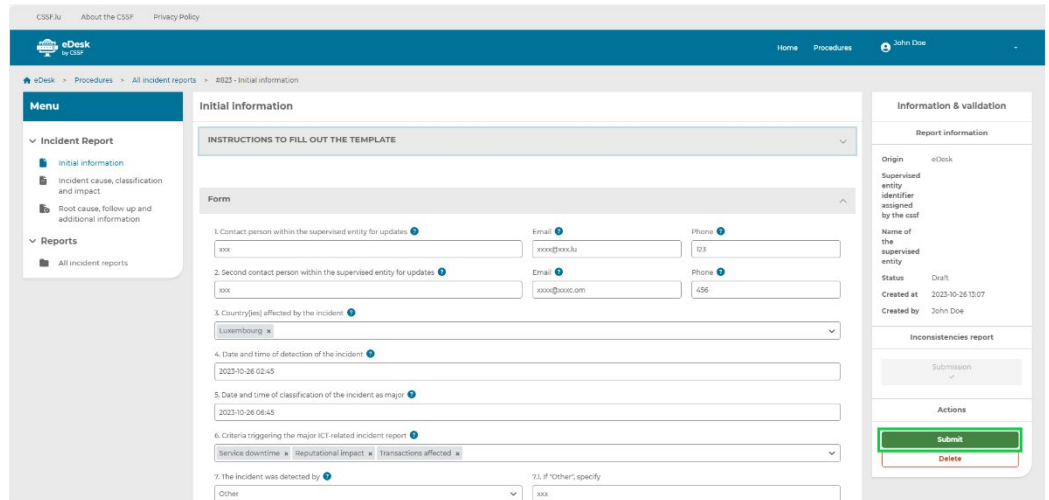
A notification can be submitted by clicking the **"Submit"** action button in the "Information & validation" section.

The system automatically prevents the user from submitting any incomplete notification form to the CSSF. In such case, the system will display a list of the missing data at the top of the form, as well as in the "Inconsistencies report" in the right section.



The screenshot shows the eDesk interface for a draft notification. The left sidebar contains a 'Menu' with 'Incident Report' and 'Reports'. The main area is titled 'Initial information' and contains sections for 'INSTRUCTIONS TO FILL OUT THE TEMPLATE', 'Form', 'Documents', and 'Comments'. At the top of the 'Form' section, there is a red box containing a list of missing data: 'Fill in the mandatory information General description of the incident', 'Fill in the mandatory information Date and time of detection of the incident', and 'Fill in the mandatory information Date of the classification of the incident as major'. Below this, the 'Form' section contains fields for '1. Contact person within the supervised entity for updates', '2. Second contact person within the supervised entity for updates', '3. Country(ies) affected by the incident', '4. Date and time of detection of the incident', '5. Date and time of classification of the incident as major', and '6. Criteria triggering the major ICT-related incident report'. On the right, the 'Information & validation' section shows report information, including 'Origin: eDesk', 'Supervised entity identifier assigned by the csaf', 'Name of the supervised entity', 'Status: Draft', 'Created at: 2023-10-26 13:07', and 'Created by: John Doe'. Below this, the 'Inconsistencies report' section shows a 'Submission' status and a list of missing data: 'Missing General description of the incident', 'Missing Date and time of detection of the incident', and 'Missing Date of the classification of the incident as major'. The 'Inconsistencies report' section is highlighted by a red box.

Once the form has been filled in with the mandatory information and the changes are saved, the **“Submit”** button is enabled.

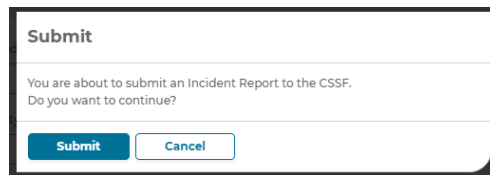


The screenshot shows the 'Initial information' form in the eDesk system. The form is divided into sections: 'Initial information' and 'Information & validation'. The 'Initial information' section contains a form with the following fields:

- 1. Contact person within the supervised entity for updates (Email: xxx@xxx.lu, Phone: 123)
- 2. Second contact person within the supervised entity for updates (Email: xxx@xxx.com, Phone: 456)
- 3. Country(ies) affected by the incident (Luxembourg)
- 4. Date and time of detection of the incident (2023-10-26 02:45)
- 5. Date and time of classification of the incident as major (2023-10-26 06:45)
- 6. Criteria triggering the major ICT-related incident report (Service downtime, Reputational impact, Transactions affected)
- 7. The incident was detected by (Other: xxx)

The 'Information & validation' section shows the report information, including the origin (eDesk), supervised entity identifier, name of the supervised entity, status (Draft), created at (2023-10-26 13:07), and created by (John Doe). A 'Submit' button is highlighted in green at the bottom right.

When clicking on the “Submit” button, a confirmation window will pop up for the user to confirm the requested action. The user will have to confirm this action for the notification to be submitted to the CSSF.



The screenshot shows a 'Submit' confirmation window. It contains the following text:

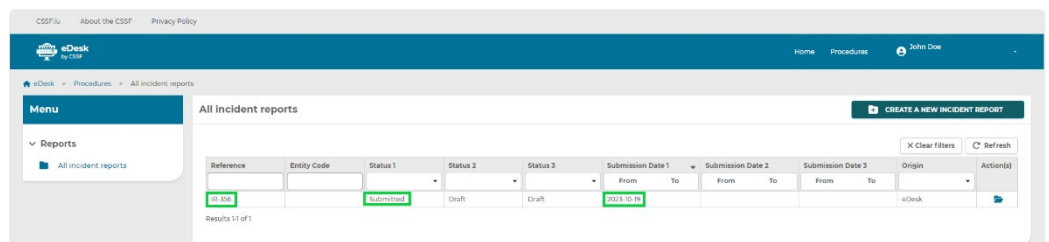
**Submit**

You are about to submit an Incident Report to the CSSF.  
Do you want to continue?

Buttons: Submit, Cancel

Once confirmed, the status of this submitted section of the notification will change to “Submitted” and its respective submission date will be displayed automatically in the “Report information” section, as well as in the dashboard.

A dedicated reference will also be automatically assigned to this submitted notification. Unlike the status, the filing reference is unique for the three sections of an incident notification.



The screenshot shows the 'All Incident reports' dashboard. It contains a table with the following columns:

Reference	Entity Code	Status 1	Status 2	Status 3	Submission Date 1	Submission Date 2	Submission Date 3	Origin	Action(s)
0023-01-04		Submitted	Draft	Draft	2023-01-04			eDesk	

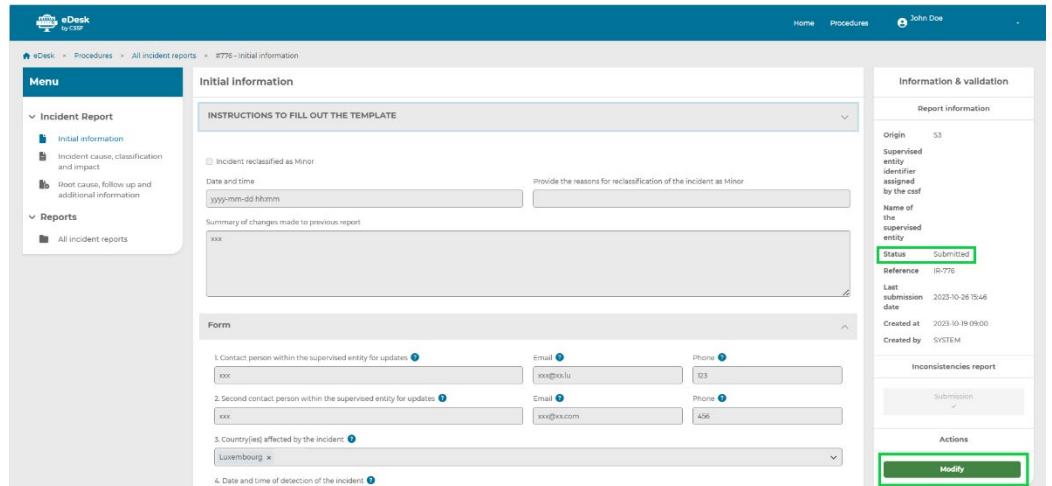
Results 1 of 1

**Important:** The section “Initial information” of a notification shall be submitted first, followed by the section “Incident cause, classification and impact”, and lastly the section “Root cause, follow up and additional information”.

### 2.3.2 Modification of a submitted notification

If the Supervised Entity has updates to an incident report already submitted, an updated version of the form may be submitted.

In this case, the user shall click on the action “Modify”, that is only available at status “Submitted”.

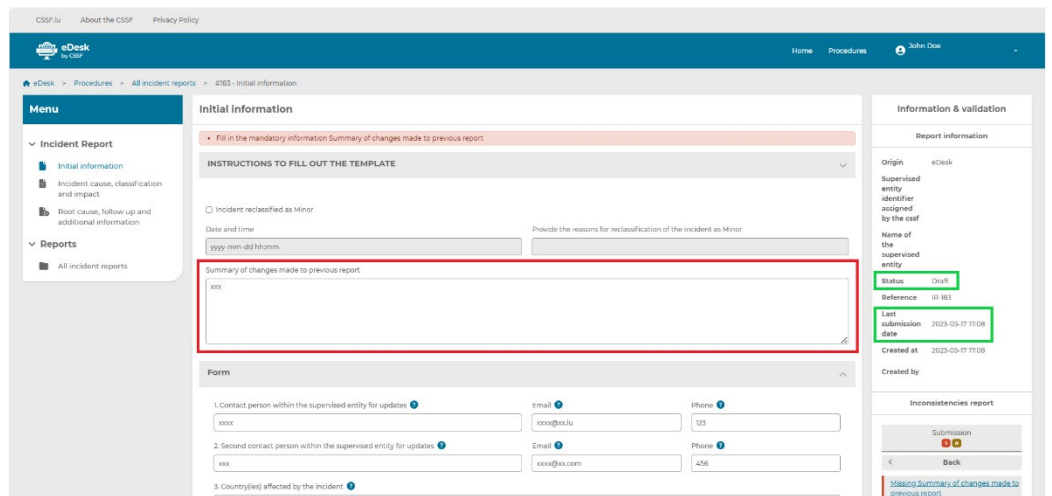


The screenshot shows the eDesk incident report form. The status is 'Submitted'. The 'Modify' button is highlighted in green. The form includes sections for 'Initial information', 'Form', and 'Information & validation'.

A new information “Last submission date” is then displayed in the “Report information” for the user to easily differentiate a new form from an update of an already submitted one.

For any modification of an already submitted form, the user must complete the section “Summary of changes made to previous report”.

A modified form reverts to the status “Draft” and must be saved and submitted again via the “**Submit**” action, in order for the CSSF to receive the updated information.



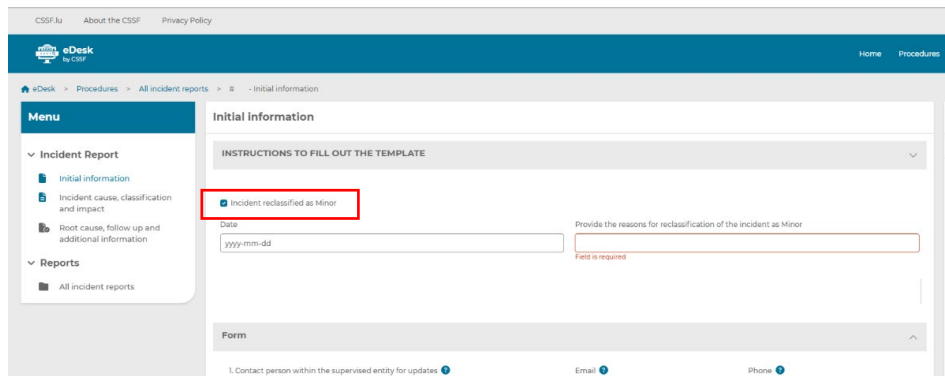
The screenshot shows the eDesk incident report form after modification. The status is 'Draft'. The 'Submit' button is highlighted in green. The form includes sections for 'Initial information', 'Form', and 'Information & validation'.

Any new ongoing version of a form can be deleted via the “Delete” action, which, if confirmed via the usual pop-up window, brings the user back to its previous submitted version.

**Important:** An incident notification with the status “Closed” can no longer be modified. New document(s) or comment(s) can however still be added and submitted.

### 2.3.3 Reclassification of an incident

In case the incident no longer fulfils the criteria to be considered as major, the user can reclassify the incident notification in the system. The incident shall then be reclassified as minor by ticking the dedicated box at the top of the “Initial notification” section of the notification form. Supervised entities must provide the date and an explanation of the reasons for this reclassification. This option is only available after the initial submission of the notification form.



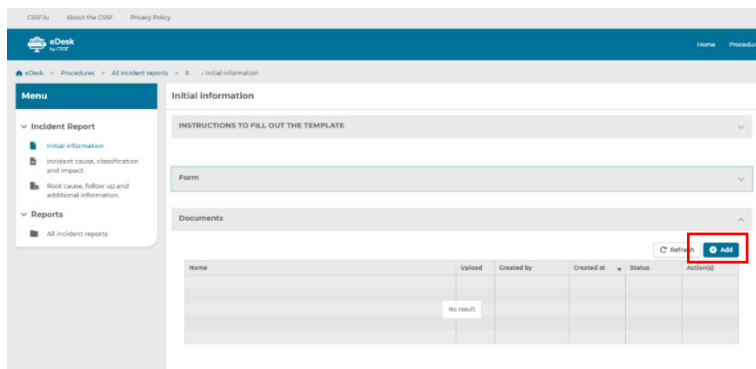
The screenshot shows the 'Initial Information' section of the eDesk form. A checkbox labeled 'Incident reclassified as Minor' is highlighted with a red box. Below it, there is a 'Date' field with a placeholder 'yyyy-mm-dd' and a text area for 'Provide the reasons for reclassification of the incident as Minor'. A red error message 'Field is required' is visible next to the text area. The 'Form' section below contains fields for 'Contact person within the supervised entity for updates', 'Email', and 'Phone'.

### 2.3.4 Addition of document(s) to the notification form

The “**Documents**” part allows the user to attach document(s) to its notification where applicable.

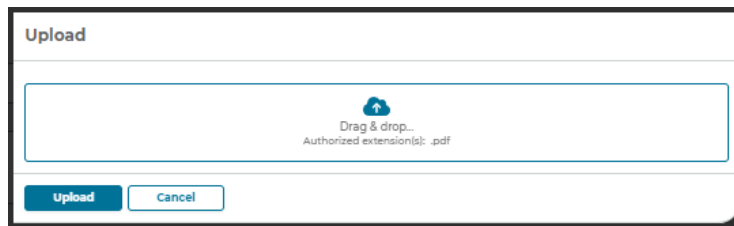
To add a document, follow the steps below:

1. Click on the “Add” button



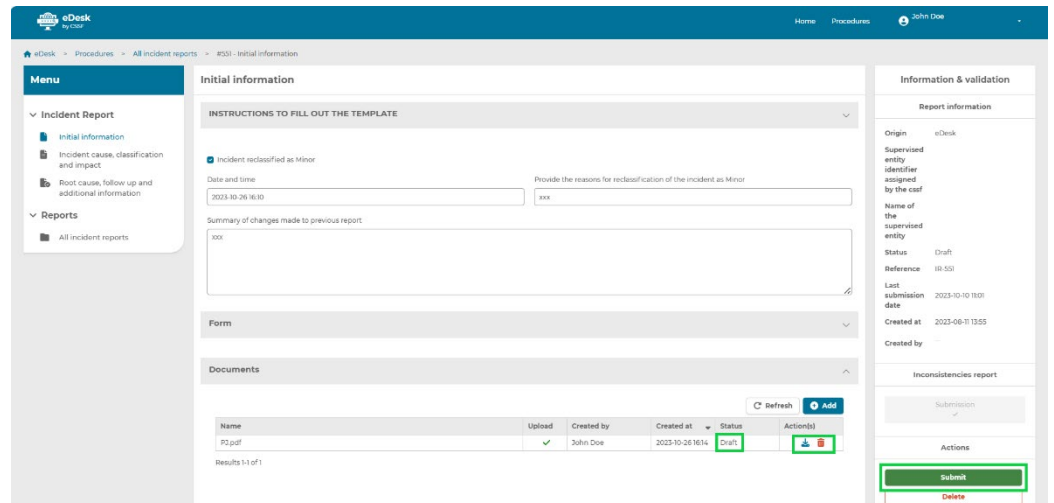
The screenshot shows the 'Documents' section of the eDesk form. It features a table with columns: 'Name', 'upload', 'Created by', 'Created at', 'Status', and 'Actions'. The 'Add' button in the top right corner of the table is highlighted with a red box. The table currently shows 'No result'.

2. A new window will open allowing the user to upload a new document. Note: only a pdf extension is authorised.




The document is then uploaded and attached to the dedicated section with status "Draft" and can be downloaded or deleted by the user.

Document(s) attached to a specific section of an incident notification are submitted to the CSSF together with the corresponding section of the "Form", via the action "**Submit**". Document(s) added to closed files shall be submitted individually.



Name	Upload	Created by	Created at	Status	Action(s)
P1.pdf	✓	John Doe	2023-10-26 16:10	Draft	[Download] [Delete]

The deletion action remains available until the section is submitted to the CSSF, changing the status of the document to "Active".

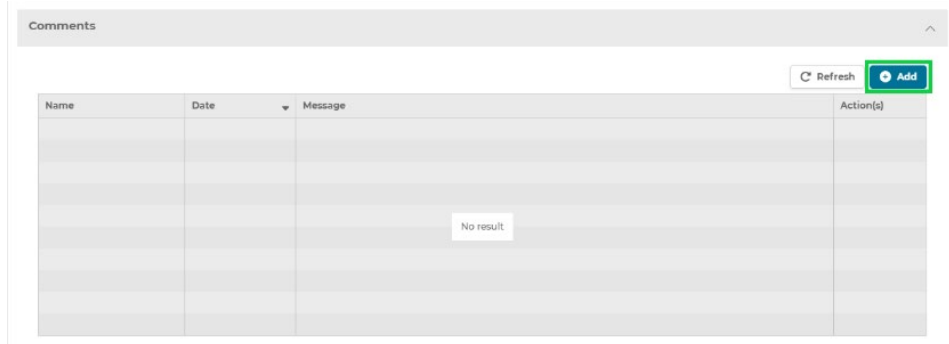


Name	Upload	Created by	Created at	Status	Action(s)
P1.pdf	✓	John Doe	2023-06-29 15:58	Active	[Download] [Delete]

### 2.3.5 Exchange of comment(s) with the CSSF

The "**Comments**" part allows the CSSF and supervised entities to exchange comments about the information submitted in the form.

New comments can be created by clicking on "**Add**".



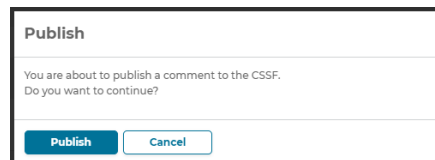
A new window will be displayed, allowing the user to write a text. The user shall then click on the **"Save"** button to save the entered text.



The comment will then be displayed in the dedicated "Comments" section and can be respectively **"Edited"**, **"Published to the CSSF"**, or **"Deleted"** via the action buttons.



**Important:** The **"Save"** button will only save a draft version of a comment but will not send the comment to the CSSF. To send a comment to the CSSF, the user shall click on the **"Publish"** icon and confirm the action in the pop-up window. Once the comment is published to the CSSF it can no longer be edited or deleted.






The comments published by the CSSF to the Supervised Entity will be visible in the same section. Those comments show the CSSF logo before the name of the CSSF agent who published them.

Comments			
			Refresh Add
Name	Date	Message	Action(s)
 S...	2023-06-29 16:05	CSSF Comment	
John Doe	2023-06-29 16:02	Text ABC...	

Results 1-2 of 2

Comments can be added and published any time after the initial submission of the "Initial information" section.

### 3. Notification via the S3 solution

#### 3.1 Overview of the S3 solution and prerequisite

S3 or "simple storage service" is the object storage protocol (through a web service interface) used by the CSSF for the file exchange through a S3 compatible transfer client. S3 stores data as objects within buckets.

In S3 Supervised Entities will use the following folders:

- The "**submission**" folder to upload reporting files;
- The "**feedback**" folder to retrieve feedbacks.

**Depending on the transfer client used, the "submission" folder may have to be manually created.**

**Important:** To submit data using S3, Supervised Entities must enrol themselves using the "IT Expert" role. Please refer to the S3 User Guide "*Methods of transmitting reports via S3 Application Programming Interface - Technical guidance*" available here for detailed explanations on how S3 works and the enrolment process: <https://www.cssf.lu/en/methods-of-transmitting-reports-via-api/>

#### 3.2 Reporting file

##### 3.2.1 Reporting format and naming convention

Data concerning Major ICT-related Incident Notification for Supervised Entities shall be reported in JavaScript Object Notation (JSON) format file with the extension ".json".

The respective JSON schema is available here:

[https://edesk.apps.cssf.lu/edesk-dashboard/docs/epi/jsonschema/v1\\_0\\_0/mictir-input-jsonschema-v1\\_0\\_0](https://edesk.apps.cssf.lu/edesk-dashboard/docs/epi/jsonschema/v1_0_0/mictir-input-jsonschema-v1_0_0)

The mandatory naming convention for JSON files is UUID format (universally unique identifier). The file shall be named

**MICTIR-ENNNNNNNN-YYYY-MM-DD.json**

with each component of the name described in the below table:

Code	Meaning	Structure	Authorised value
<b>TYPE</b>	Reporting type	Char(N)	<b>'MICTIR'</b>
<b>-</b>	Separator	Char(1)	<b>'-'</b> (constant)
<b>E</b>	Entity type	Char(1)	<b>&amp;, A, B, I, K, O, P, S, W, Z</b>
<b>NNNNNNNN</b>	Identification number	Number(8)	<b>00000001...99999999</b> (CSSF code of the entity)
<b>-</b>	Separator	Char(1)	<b>'-'</b> (constant)
<b>YYYY-MM-DD</b>	Date of the reporting generation	Date	<b>Date in the specified format</b>
<b>.json</b>	Extension	Char(5)	<b>.json</b> (constant)

The same naming convention also applies for ZIP files, the only difference being the extension of the file.

### 3.2.2 Submission process

The JSON file and any potential PDF attachments shall be transmitted within a compressed .ZIP file.

The ZIP file shall be uploaded into the **"submission"** folder in the S3 bucket of the Supervised Entity. The upload in other folders is not allowed (e.g. the **"feedback"** folder is solely dedicated to the CSSF feedback files).

The S3 bucket is only intended to submit data to the CSSF's system, it is not intended for long term storage. Regular cleaning might be performed by CSSF. Supervised Entities are therefore required to, where applicable, take appropriate measures to store the original version of the file they submit via S3.

**Important:** The S3 submission can either be done via a single file containing the 3 sections<sup>1</sup> of the form, or via separated files containing only certain sections of the form.

### 3.2.3 Modification of a submitted notification

Via the S3 protocol, Supervised Entities may also submit updates to an already submitted Major ICT-related Incident Notification.

To submit updates, the **"TrackingCode"** provided by the CSSF and corresponding to the notification to be modified shall be indicated in the name of the new file transmitted to the CSSF.

The following naming convention is applicable for the updates:

MICTIR-ENNNNNNNN-YYYY-MM-DD-**TrackingCode**.json

The **"Summary of changes made to previous report"** shall be completed within the respective submitted section of the JSON file (summaryOfChanges).

Note that an update can neither be submitted on a **"Rejected"** incident notification ([see section 3.3.2.1.1](#)), nor on an already **"Closed"** one.

#### 3.2.3.1 **Reclassification of an incident**

In case the incident no longer fulfils the criteria to be considered as major, the user can reclassify the incident notification via a new S3 submission. The incident shall then be reclassified as minor by indicating **"true"** in the field **"incidentReclassifiedAsMinor"**. Supervised entities must provide the **date** (reclassificationDate) and an **explanation** of the reasons for this reclassification (reclassificationReasons). This option is only accepted after the initial submission of the notification.

#### 3.2.3.1 **Addition of document(s) to the updated notification**

Any document that is listed and attached to the submitted JSON file will be newly created and attached to the existing notification in the CSSF system.

<sup>1</sup> **"initialInfo"** corresponds to the Initial notification ("Initial information" in eDesk); **"detail"** corresponds to the Intermediate notification ("Incident cause, classification and impact" in eDesk); and **"followUp"** corresponds to the Final notification ("Root cause, follow up and additional information" in eDesk)

Accordingly, in case the documents already submitted to the CSSF shall not be replaced, the updated JSON file shall not contain the already submitted documents. A document shall only be added to the updated JSON file when a new document is submitted to the CSSF.

In case the same document is re-submitted, duplicate files will be created in the system.

#### 3.2.4 Consistency verification rules

The CSSF will evaluate the files submitted by the Supervised Entity, which entails a series of consistency verifications to ensure compliance. Several technical and business validation rules will be applied as described in section 3.3. below.

**Important:** Major ICT-related Incident Notifications submitted through S3 can also be completed or corrected via the eDesk platform and vice-versa.

### 3.3 CSSF feedback file

It is up to the submitting entity to monitor transmission correctness.

A feedback file in JSON format is systematically generated for each file submitted to the CSSF via the S3 protocol and is made available in the “feedback” folder of the Supervised Entity. This “feedback” folder is automatically created after an initial transmission of file to the CSSF.

The JSON schema for the feedback file is available here:

[https://edesk.apps.cssf.lu/edesk-dashboard/docs/epi/jsonschema/v1\\_0\\_0/mictir-feedback-jsonschema-v1\\_0\\_0](https://edesk.apps.cssf.lu/edesk-dashboard/docs/epi/jsonschema/v1_0_0/mictir-feedback-jsonschema-v1_0_0)

The Supervised Entity shall ensure that a feedback file has been received for the last file sent to the CSSF before submitting a new file.

Note that feedback generation could take some time. If the Supervised Entity does not receive a response within one working day, please contact our dedicated technical support team at [edesk@cssf.lu](mailto:edesk@cssf.lu).

#### 3.3.1 Naming convention

The naming convention for the CSSF feedback files is specified below:

**FDBMICTIR-(SourceFileName)-IR-XXX.json**

Code	Meaning	Structure	Authorised value
------	---------	-----------	------------------

<b>TYPE</b>	Reporting type	Char(N)	<b>FDBMICTIR</b>
-	Separator	Char(1)	'-' (constant)
<b>SourceFileName</b>	Name of file received from the Supervised Entity	Char(N)	<b>Submitted file name -</b> Refer to the <a href="#">json File naming convention</a>
-	Separator	Char(1)	'-' (constant)
<b>TrackingCode</b>	Reference of the incident notification created in the CSSF system	Char(N)	<b>IR-xxx</b>
<b>.json</b>	Extension	Char(5)	<b>.json</b> (constant)

### 3.3.2 CSSF Feedback file content

A feedback file contains several information about the report identification:

- The unique tracking code assigned to the submitted report;
- The report reception date (in UTC);

And the following information about the report:

- The status of the S3 submission ("**Rejected**" if report is rejected, otherwise "**Accepted**");
- The status of each section of the notification (i.e. Initial, Detail and FollowUp);
- The potential list of errors which have been raised during the application of the validation rules, and their respective description.

#### 3.3.2.1 **Technical validation**

##### 3.3.2.1.1 "Rejected" Status

When at least one of the technical validation rules has not been met, the "status" is "Rejected".

Explicit error messages are provided within the feedback file under "rules" and then "description".

Note that even though a CSSF file reference (i.e. Tracking code) is assigned to the rejected notification, it is not considered as being correctly submitted to the CSSF. A rejected notification cannot be updated, the Supervised Entity shall correct the file and upload it again. In such case, a new CSSF file reference will be assigned to the new submission.

Example:

```
{
  "header" : {
    "schemaVersion" : "1.0.0",
    "trackingCode" : "IR-001",
    "receptionDate" : "2024-02-01T14:29:07.887184Z"
  },
  "payload" : {
    "status" : "REJECTED",
    "initialInfoStatus" : "REJECTED",
    "detailStatus" : "REJECTED",
    "followUpStatus" : "REJECTED",
    "rules" : [ {
      "code" : "IR001",
      "description" : "The file name does not respect the expected
naming convention."
    } ]
  }
}
```

#### 3.3.2.1.1 "Accepted" Status

When no technical error is identified, the "status" in the feedback file is **"Accepted"**. The file has been successfully transmitted to the CSSF and the business validation rules are applied to the file, as detailed in the following section.

#### 3.3.2.2 Business validation

Following the technical acceptance of the file, several business validation rules are applied.

##### 3.3.2.2.1 "Draft" status

Incorrect business content can be identified and listed in the feedback file. These are blocking errors preventing the correct submission to the CSSF.

In such case, the status **"Draft"** is reported in the feedback file either under "initialInfoStatus", "detailStatus" or "followUpStatus".

The section<sup>1</sup> concerned of the notification remains in status **"Draft"** in eDesk and is not yet visible by the CSSF. It is the responsibility of the Supervised Entity to correct the content of the form and resubmit it to the CSSF.

Example:

```
{
  "header" : {
    "schemaVersion" : "1.0.0",
    "trackingCode" : "IR-002",
    "receptionDate" : "2024-02-01T15:39:04.131723Z"
  },
  "payload" : {
    "status" : "ACCEPTED",
    "initialInfoStatus" : "DRAFT",
    "detailStatus" : "DRAFT",
    "followUpStatus" : "DRAFT",
    "rules" : [ {
      "code" : "IR035",
      "description" : "Field DetectorOther is not allowed"
    }, {
      "code" : "IR023",
      "description" : "Part 1 \"Initial information\" must be
submitted prior submitting the Part 2 \"Incident cause, classification
and impact\""
    }, {
      "code" : "IR027",
      "description" : "Part 2 \"Incident cause, classification and
impact\" must be submitted prior submitting the Part 3 \"Root cause,
follow up and additional information\""
    } ]
  }
}
```

#### 3.3.2.2.1 "Submitted" status

The incident notification is correctly submitted to the CSSF when neither technical nor business rules are raised. In such case, the status "Submitted" is indicated in the feedback file for the concerned section of the notification that has been submitted to the CSSF.

<sup>1</sup> **"initialInfo"** corresponds to the Initial notification ("Initial information" in eDesk); **"detail"** corresponds to the Intermediate notification ("Incident cause, classification and impact" in eDesk); and **"followUp"** corresponds to the Final notification ("Root cause, follow up and additional information" in eDesk)

Note that although sections can be submitted together via S3, they are treated independently by the system. This means that, the "InitialInfo" section might be correct and "Submitted", while the second section "Detail" still contains errors and stays in "Draft" status.

Examples:

```
{
  "header" : {
    "schemaVersion" : "1.0.0",
    "trackingCode" : "IR-003",
    "receptionDate" : "2024-02-01T18:02:31.211643Z"
  },
  "payload" : {
    "status" : "ACCEPTED",
    "initialInfoStatus" : "SUBMITTED",
    "detailStatus" : "SUBMITTED",
    "followUpStatus" : "SUBMITTED",
    "rules" : [ ]
  }
}
```

```
{
  "header" : {
    "schemaVersion" : "1.0.0",
    "trackingCode" : "IR-004",
    "receptionDate" : "2024-01-25T14:55:56.076212Z"
  },
  "payload" : {
    "status" : "ACCEPTED",
    "initialInfoStatus" : "SUBMITTED",
    "detailStatus" : "SUBMITTED",
    "followUpStatus" : "DRAFT",
    "rules" : [ {
      "code" : "IR028",
      "description" : "Fill in the mandatory information Additional
information"
    }, {
      "code" : "IR029",
      "description" : "Fill in the mandatory information Root cause
identified"
    } ]
  }
}
```





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