# Digital Trust Professional® (DTP®)

# Digital Operational Resilience Act (DORA) Foundation Certificate

## Course Duration

1-day Instructor Led, non-examinable – no pre-requisites

## Course Outline

The Digital Operational Resilience Act (DORA) is an EU regulation that entered into force on 16 January 2023 and will apply as of 17 January 2025.

It aims at strengthening the IT security of financial entities such as banks, insurance companies and investment firms and making sure that the financial sector in Europe is able to stay resilient in the event of a severe operational disruption.

DORA brings harmonisation of the rules relating to operational resilience for the financial sector applying to 20 different types of financial entities and their ICT third-party service providers.

In order to achieve a high common level of digital operational resilience, the EU Digital Operational Resilience Act (DORA) Regulation lays down uniform requirements concerning the security of network and information systems supporting the business processes of financial entities as follows:

(a) requirements applicable to financial entities in relation to:
    (i) information and communication technology (ICT) risk management;
    (ii) reporting of major ICT-related incidents and notifying, on a voluntary basis, significant cyber threats to the competent authorities;

(iii) reporting of major operational or security payment-related incidents to the competent authorities by financial entities;
(iv) digital operational resilience testing;
(v) information and intelligence sharing in relation to cyber threats and vulnerabilities;
(vi) measures for the sound management of ICT third-party risk;

(b) requirements in relation to the contractual arrangements concluded between ICT third-party service providers and financial entities;
(c) rules for the establishment and conduct of the Oversight Framework for critical ICT third-party service providers when providing services to financial entities;
(d) rules on cooperation among competent authorities, and rules on supervision and enforcement by competent authorities in relation to all matters covered by this Regulation.

## Learning Outcomes

On completion of the Digital Trust Professional® (DTP®) DORA Foundation Certificate participants will be able to:

- Explain the fundamentals of the Digital Operational Resilience Act (DORA).
- Explain the scope of DORA.
- Understand common approaches to risk management and the risk management process.
- Identify the mandatory requirements within DORA.
- Identify the mandatory documented requirements within DORA.
- Understand the practicalities of control implementation and DORA compliance.

## Prerequisites

There are no prerequisites for this Foundation level course. The course is suitable for all employees at all levels, individuals seeking to enter employment, individuals seeking a second career in Governance, Risk and Compliance after service, Financial Sector employees, and individuals seeking to transition into a new role with career longevity.

On completion participants are provided with:

- Digital Trust Professional® (DTP®) DORA Foundation Certificate courseware including links to further reading and resources.
- Digital Trust Professional® (DTP®) DORA Foundation Certificate course Certificate of Completion.
- Digital Trust Professional® (DTP®) DORA Foundation Certificate digital badge.

# Course Agenda

| Lesson | Timings | Lesson Focus |
|---|---|---|
| **Course Start** | **09:00** | **Course Start** |
| Course Outline Introductions | 09:00 – 09:45 | |
| Section I<br>Chapter I | 09:45 – 10:15 | • General Provisions<br>• Scope<br>• Definitions<br>• Proportionality Principle |
| Break | 10:15 – 10:30 | Break |
| Section I<br>Chapter II | 10:30 – 12:00 | • Governance and Organisation<br>• Risk Management (RM) Requirements<br>• RM Overview<br>• Understanding RM Frameworks |
| Lunch | 12:00– 12:45 | Lunch |
| Section I<br>Chapter II | 12:45 – 13:45 | • Common Control Frameworks<br>• Understanding Control Frameworks |
| Section I<br>Chapter II | 13:45 – 14:00 | • Effective RM<br>• Continuous Improvement |
| Section I<br>Chapter III and IV | 14:00 – 14:45 | • Incident Management<br>• Incident Reporting<br>• Capability Testing<br>• Threat-Led Penetration Testing (TLPT) |
| Break | 14:45 – 15:00 | Break |
| Section I<br>Chapter V | 15:00 – 16:15 | • Third-party Risk Management<br>• Contractual Provisions |
| Section II<br>Chapter VI, VII, VIII, IX | 16:15 – 16:45 | • Oversight<br>• Information Sharing<br>• Competent Authorities<br>• Delegated Acts<br>• Final Provisions |
| Section II<br>Amendments | 16:45 – 17:00 | • Amendments |
| **Course End** | **17:00** | **Course End** |