2024 voluntary dry run exercise

Instructions

Tools for reporting the DORA Register of Information (RoI)

This document provides information and guidance on the use of the Excel template and VBA-based csv generator tool to generate the csv files to be reported to the EBA for the 2024 dry run exercise.

1. Introduction

Background

1. This document contains guidance on the process to fill in the Excel templates for the 2024 voluntary dry run exercise. Instructions on the VBA-based tool that generates the csv files with the Registers of Information to be submitted to the EBA are also provided.

2. Using the Excel templates and the tool to generate the csv is not mandatory. The purpose of these tools is to assist the financial entities in reporting the Registers of Information for the first time. In case the financial entity already has a process in place that generates the csv files with the structure and format specified in the draft technical package, the use of the material referred in this section is optional.

3. Development of this tool is based on a Windows Operating System, which therefore is the only Operating System supporting the use of these tools. We cannot provide support for other Operating Systems.
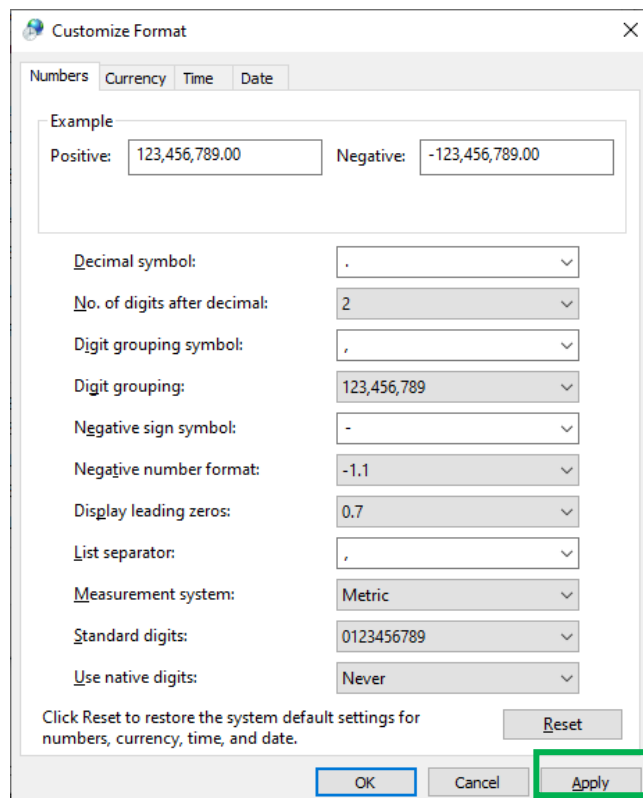
2. Excel template

System settings

4. In order to ensure smooth generation of the csv file, it is necessary to follow the international convention on formats. To do this, please follow the steps indicated below. The screenshots below are based on a Windows 10 operating system.

    a. Open the control panel of your laptop. The icon could differ depending on the operating system.

    b. Select *Clock and Region*.
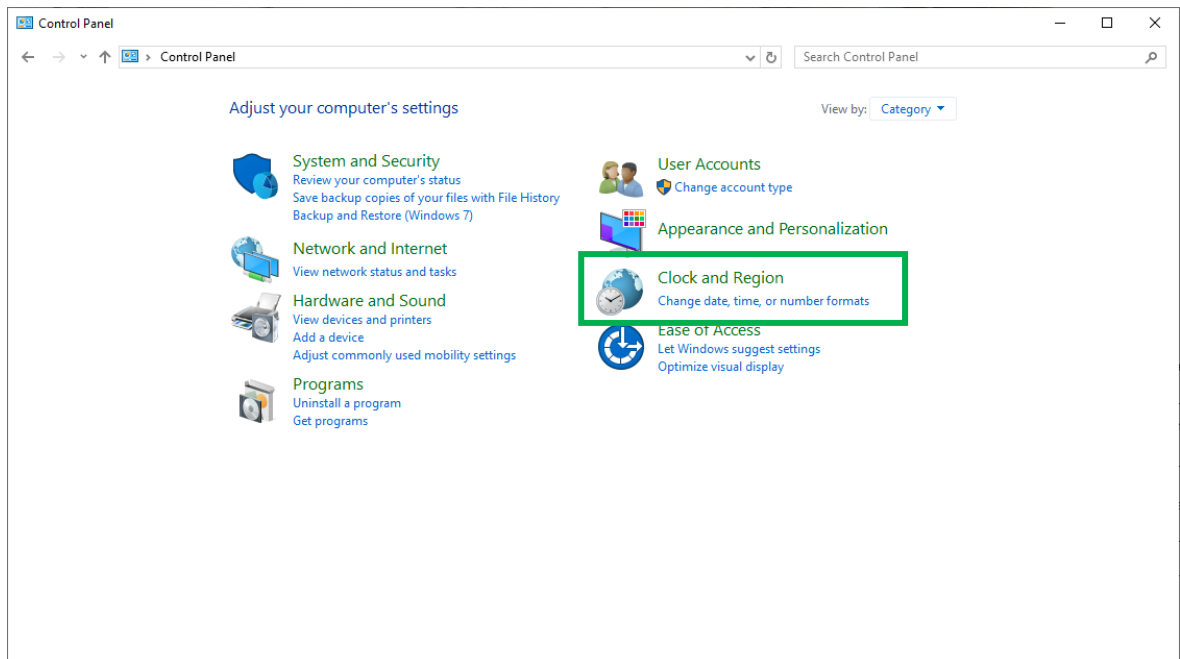
    c. Under *Format*, select *English (United Kingdom)*. Please make sure that the default option "Match Windows display language (recommended)" is not selected. Please make sure that the date and time formats are as shown below. Then click on *Apply*.
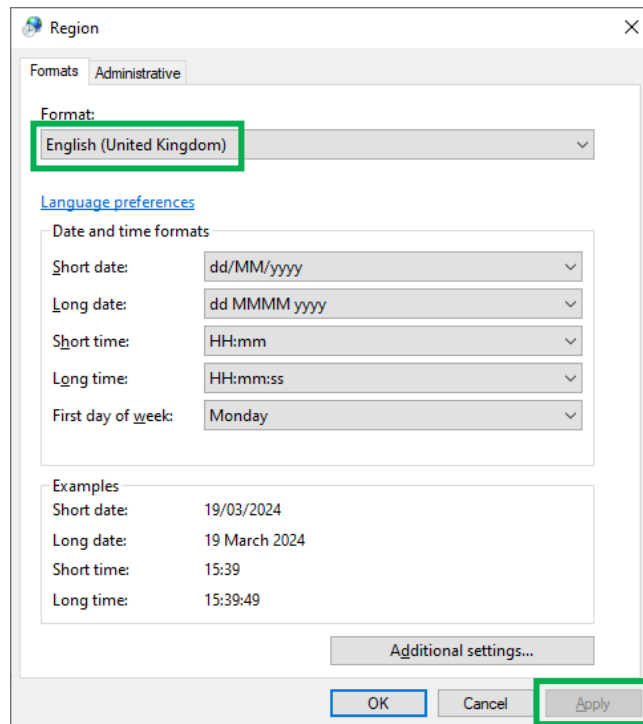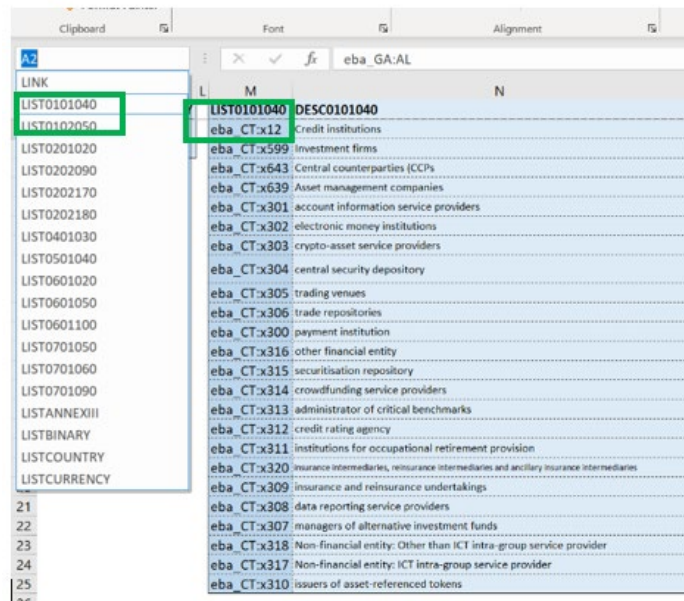
d. Click on *Additional settings*. Please make sure that the number formats are as shown below. In particular, the decimal symbol should be a dot (.) and not a comma (,), to prevent issues with the csv, where the comma will be used as a separator. Click on *Apply*.

Filling in the template

5. The Excel template is password protected to ensure data entry according to the instructions and draft DPM, and correct functioning of the tool referred to in chapter 3. Please do not remove the password protection from the workbook structure nor from the worksheets. Respecting the file structure is key for the correct generation of the csv files. Any manipulation of the template's structure, like adding or deleting columns, sheets and rows, may alter the correct functioning of the csv generator tool and is to be avoided.

6. For ease of use, the template already contains the correct drop-down lists with the items from the EBA draft DPM. When a closed set of options is envisaged for a given column, please select the item from the drop-down menu – or paste the data from your data source using the same item contained in the drop-down. All drop down lists are contained in named ranges which are accessible in the sheet "Drop down", together with the corresponding labels which decode the DPM members:

In sheet Instructions, column G (Drop down ref) contains the name of the named range reference:

DPM members and their description are also available as a note in the header of the reporting template. Where available, is indicated by the right top red angle. Select the cell, right click and Show / Hide Note to make it visible.

7. Columns containing dates are already formatted with the correct format (*yyyy-mm-dd*, for instance: 2023-12-31). Please adhere to this format to ensure compliance with the instructions.

8. Please do not use thousands separator for numeric values. The decimal separator should be a dot (.) by default if the steps described in section System settings have been followed. Non-compliance with this will cause issues with the csv generation, since the comma is used in the csv file to separate the content of each Excel cell. Numeric cells have been formatted as text to overcome automatic rounding by excel. Please do not edit the formatting as otherwise the automatic rounding will alter the entry you make.

3. Tool "Generate DORA RoI CSVs.xlsm"

Description of the tool

9. The file "Generate DORA RoI CSV.xlsm" contains a set of VBA procedures to convert the Excel template, filled as per instructions in Chapter 2, according to the EBA requirements for the dry run exercise. Each Excel template will be converted in CSV file and packed into a zip file named according to EBA naming convention. For transparency, the csv generator tool containing the macro is not password protected. However, to ensure the correct functioning of the macro, please refrain from altering its structure.

10. Additionally, while generating the csv files a set of checks are performed over the entries of the Excel templates (see list of checks in Annex I). Please note that checks are of two types:

    a. Errors failing which the csv files will not be generated;

    b. Warnings, which will be provided in an Error Log file alongside the generated csv files. Such warnings, although not preventing the generation of the csv files, shall be addressed whenever possible, as they will impact the quality of the data submitted.

Settings requirements

11. The VBA macro contained in the tool will need to access your system, creating directories and files, therefore the security settings need to allow for such interaction.

12. Security settings on your system could block the file as downloaded from an external source. If this is the case and this message appears on the file:

As a first step, save the file on your PC.

- Open Windows File Explorer and go to the folder where you saved the file.

- Right-click the file and choose *Properties* from the context menu.

- At the bottom of the General tab, select the *Unblock* checkbox and select *OK*:
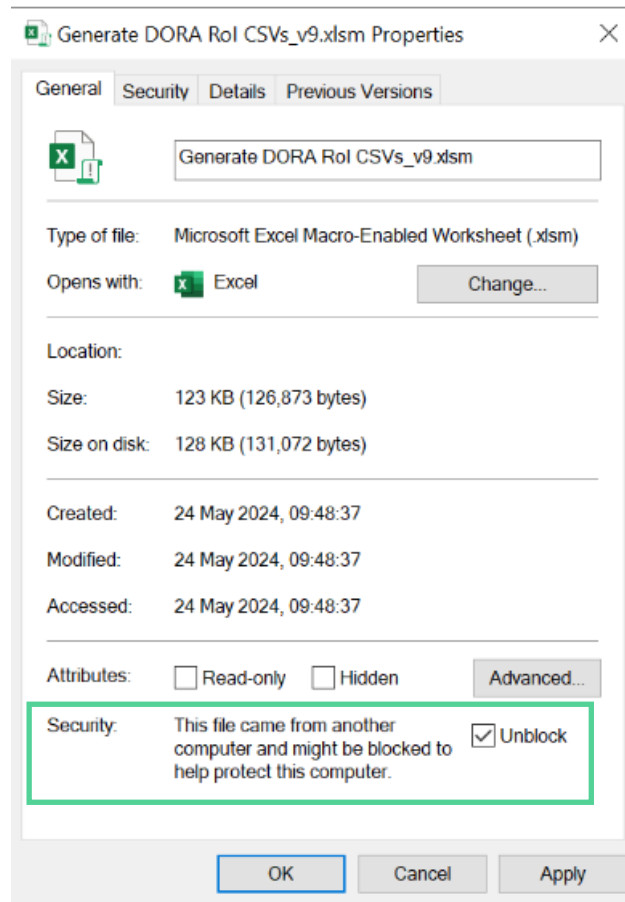
13. Additionally, make sure VBA macros are enabled. If not, you will need to change the macro settings, which are in the Trust Center. However, if your device is managed by your Company, the system administrator might prevent anyone from changing settings. To enable VBA macros please follow these steps:

    a. Select the *File* tab and choose *Options*.

    b. Select *Trust Center*, and then choose *Trust Center Settings*.
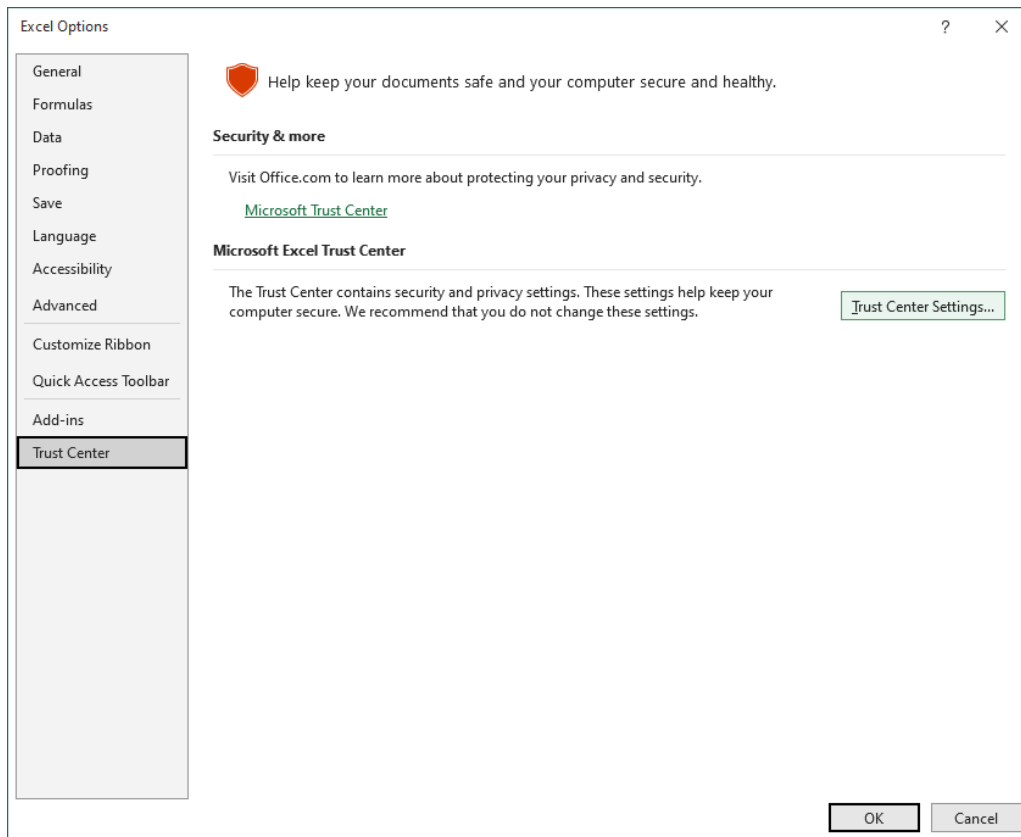
c. In the *Trust Center*, select *Macro Settings*. Enable VBA macros as per image below and press *ok*.
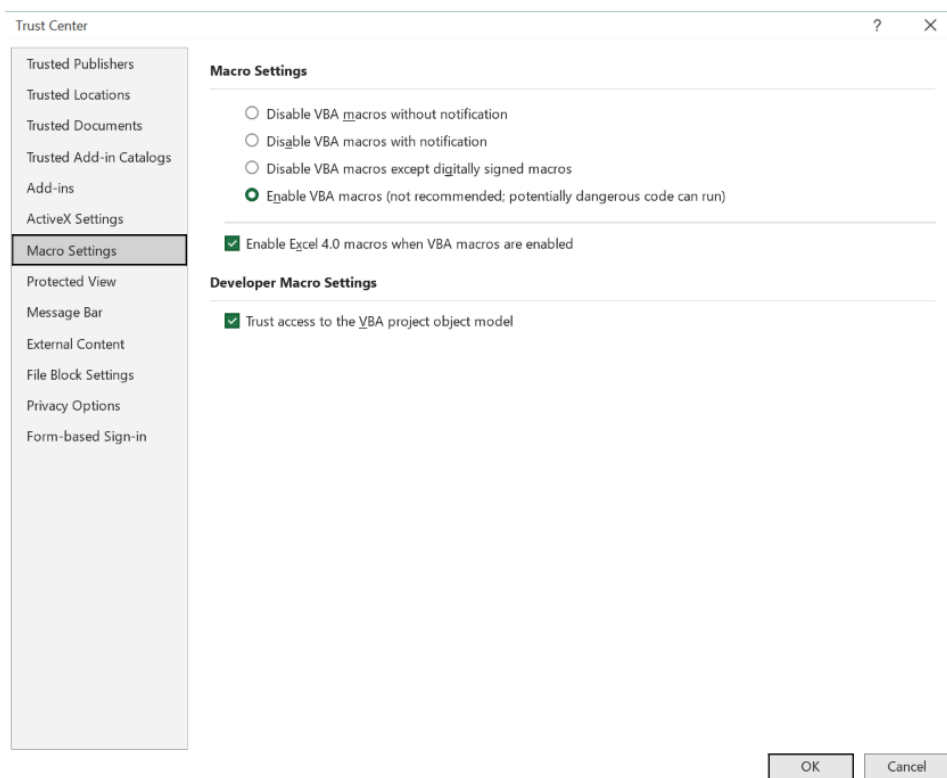
14. Note: When you change your macro settings in the Trust Center, they are changed only for the Microsoft 365 app (Excel) that you are currently using. The macro settings are not changed for all your Microsoft 365 apps.

How to use the tool

15. Save all the Excel templates correctly populated as per *Chapter 2 – Excel template* and ready to be converted into csv files for submission into a dedicated *Input path*. Once launched, the macro will process all the files contained in such folder, so make sure only valid DORA Excel templates are stored. Please note the macro requires the setting of parameters, i.e. the consolidation scope and the reporting templates filled for submissions, which are entity and report specific. This needs to be considered when running multiple reporting templates, e.g. in the case the tool is used by the CA collecting Excel templates from the Entities. In this case, CAs will have to make sure the files converted within one run all shares the same set of parameters.

16. Insert the full path to the Excel templates that need to be converted in the dedicated field in the *Start page* of the tool:

Input path:	C:\Ad-Hoc DORA\2024\Input folder

17. Choose or create an empty folder where the output files will be created by the tool. Insert the full path to the output files in the dedicated field in the *Start page* of the tool:

Output	C:\Ad-Hoc DORA\2024\Output folder

18. If you want a specific date to be the submission date appended to the created files, you can insert it in the optional field "Submission date". If left empty, the submission date will be automatically assigned as the date of creation of the file, e.g. date in which the macro will be launched.

Submission date (Optional):	

19. Select the consolidation scope of the report, by clicking on the corresponding option button. Please notice that this parameter is selected for all files processed. While the macro is intended for sue by financial entities, in case a CAs wants to use it and run it on multiple files for entities with different consolidation scope, they will need to run in separate batches selecting the parameter consistently with the templates being run.

20. Select only the templates that contains data and which are to be submitted. Template B 01.01 is mandatory and will be included by default. Please notice that the selection will affect the created submission for each file within one run of the macro. In the case of CAs running multiple files with different templates to be reported, they will need to be run in separate batches.

☑ B_01_02   ☑ B_01_03   ☑ B_02_01   ☑ B_02_02   ☑ B_02_03   ☑ B_03_01   ☑ B_03_02   ☑ B_03_03   ☑ B_04_01   ☑ B_05_01   ☑ B_05_02   ☑ B_06_01   ☑ B_07_01   ☑ B_99_01

21. Make sure all other Excel workbooks are closed, and only the Tool is open. Press the *Start* button to launch the macro.

22. Once the macro has finished running, a message box indicating where the output files has been saved will appear, such as below:

> **Microsoft Excel**   ✕
>
> All done. Please check your output files in X:\1350 - Risk Infrastructure - DORA\Ad-Hoc Data 2024\DP\Out\
>
> [OK]   [Cancel]
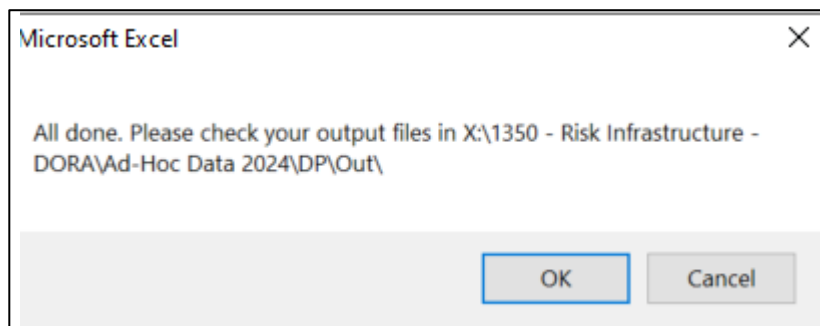
23. The output files will be saved in the output folder as specified in paragraph 17 above.

24. For each of the processed Excel templates provided in the input path paragraph 16, the possible outputs are:

   a) Error log only.

   > This will happen when the Excel template fails at least one of the Blocking rules. The macro will stop at blocking rules processor, flagging rules will not be processed and csv files will not be created.
   >
   > The Error log file name follows the name of the Excel template to which it refers, with the date stamp of when the macro is run.
   >
   > E.g. "ERRLOG_*name of Excel_YYYY-MM-DD*.csv"

   b) Error log and zip of csv files.

This will happen when the Excel file passes all the error rules but fails at least one of the warning rules. Albeit those rules do not prevent the file to be converted in csv format, the errors identified and reported in the error log should be assessed and corrected in the Excel whenever possible. Errors can be addressed in the csv files or in the Excel template. In this latter case, the macro needs to be re-run to generate a new set of CSVs for submission.

The Error log file name follows the name of the Excel template to which it refers, with the date stamp of when the macro is run.

E.g. "ERRLOG_*name of Excel_YYYY-MM-DD*.csv"

The ZIP file name follows the EBA convention which is accepted in EUCLID:

ReportingSubject_Country_Framework_Module_referenceDate_SubmissionDate

E.g. DUMMYLEI123456789012.CON_FR_DORA010000_DORA_2023-12-31_20240614161439001.zip

Each csv is named according to the template it has been generated from.

c) ZIP file only.

This will happen if the processed Excel file has passed all the checks foreseen. The file is ready to be sent to the EBA.

The ZIP file name follows the EBA convention which is accepted in EUCLID:

ReportingSubject_Country_Framework_Module_referenceDate_SubmissionDate

E.g. DUMMYLEI123456789012.CON_FR_DORA010000_DORA_2023-12-31_20240614161439001.zip

Each csv is named according to the template it has been generated from.

25. For technical assistance in the use of the csv generator tool please contact esa-dora-reporting@eba.europa.eu specifying in the object "XLS tools assistance".

Annex I

Rule ID	Rule type	Sheet	Column	Check if	LIST REF
DOR_0001	Error			Correct / official Version of the template in use	
DOR_0002	Error			Workbook is protected	
DOR_0003	Error	all		All the sheets are protected	
DOR_0004	Error	b_01.01	C0010 to C0050	Mandatory Master data information as required	
DOR_0005	Error	b_01.01	C0030	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0006	Error	b_01.01	C0040	Value entered as per closed set of option - DPM codes	LIST0101040
DOR_0007	Warning	b_01.01	C0060	Reference date set to 31/12/2023 when missing / uncorrect	
DOR_0008	Warning	b_01.02	C0010	If LEI is 20 digits - numerical allowed	
DOR_0009	Warning	b_01.02	C0030	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0010	Warning	b_01.02	C0040	Value entered as per closed set of option - DPM codes	LIST0101040
DOR_0011	Warning	b_01.02	C0050	Value entered as per closed set of option - DPM codes	LIST0102050
DOR_0012	Warning	b_01.02	C0060	If LEI is 20 digits - numerical allowed	
DOR_0013	Warning	b_01.02	C0070	Value entered is a date	
DOR_0014	Warning	b_01.02	C0080	Value entered is a date	
DOR_0015	Warning	b_01.02	C0090	Value entered is a date	
DOR_0016	Warning	b_01.02	C0100	Value entered as per closed set of option - DPM codes	LISTCURRENCY
DOR_0017	Warning	b_01.03	C0020	If LEI is 20 digits - numerical allowed	
DOR_0018	Warning	b_01.03	C0040	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0019	Warning	b_02.01	C0020	Value entered as per closed set of option - DPM codes	LIST0201020

DOR_0020	Warning	b_02.01	C0040	Value entered as per closed set of option - DPM codes	LISTCUR-RENCY
DOR_0021	Warning	b_02.02	C0020	If LEI is 20 digits - numerical allowed	
DOR_0022	Warning	b_02.02	C0060	Value entered as per closed set of option - DPM codes	LISTANNEXIII
DOR_0023	Warning	b_02.02	C0070	Value entered is a date	
DOR_0024	Warning	b_02.02	C0080	Value entered is a date	
DOR_0025	Warning	b_02.02	C0090	Value entered as per closed set of option - DPM codes	LIST0202090
DOR_0026	Warning	b_02.02	C0120	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0027	Warning	b_02.02	C0130	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0028	Warning	b_02.02	C0140	Value entered as per closed set of option - DPM codes	LISTBINARY
DOR_0029	Warning	b_02.02	C0150	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0030	Warning	b_02.02	C0160	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0031	Warning	b_02.02	C0170	Value entered as per closed set of option - DPM codes	LIST0202170
DOR_0032	Warning	b_02.02	C0180	Value entered as per closed set of option - DPM codes	LIST0202180
DOR_0033	Warning	b_03.01	C0020	If LEI is 20 digits - numerical allowed	
DOR_0034	Warning	b_03.03	C0020	If LEI is 20 digits - numerical allowed	
DOR_0035	Warning	b_04.01	C0020	If LEI is 20 digits - numerical allowed	
DOR_0036	Warning	b_04.01	C0030	Value entered as per closed set of option - DPM codes	LIST0401030
DOR_0037	Warning	b_05.01	C0040	Value entered as per closed set of option - DPM codes	LIST0501040
DOR_0038	Warning	b_05.01	C0050	Value entered as per closed set of option - DPM codes	LISTCOUNTRY
DOR_0039	Warning	b_05.01	C0060	Value entered as per closed set of option - DPM codes	LISTCUR-RENCY
DOR_0040	Warning	b_05.02	C0020	Value entered as per closed set of option - DPM codes	LISTANNEXIII
DOR_0041	Warning	b_06.01	C0020	Value entered as per closed set of option - DPM codes	LIST0601020
DOR_0042	Warning	b_06.01	C0040	If LEI is 20 digits - numerical allowed	
DOR_0043	Warning	b_06.01	C0050	Value entered as per closed set of option - DPM codes	LIST0601050
DOR_0044	Warning	b_06.01	C0070	Value entered is a date	
DOR_0049	Warning	b_07.01	C0070	Value entered is a date	

DOR_0050	Warning	b_07.01	C0080	Value entered as per closed set of option - DPM codes	LISTBINARY
DOR_0051	Warning	b_07.01	C0040	Value entered as per closed set of option - DPM codes	LISTANNEXIII
DOR_0052	Warning	b_07.01	C0050	Value entered as per closed set of option - DPM codes	LIST0701050
DOR_0053	Warning	b_07.01	C0060	Value entered as per closed set of option - DPM codes	LIST0701060
DOR_0054	Warning	b_07.01	C0090	Value entered as per closed set of option - DPM codes	LIST0701090
DOR_0055	Warning	b_07.01	C0100	Value entered as per closed set of option - DPM codes	LIST0601100
DOR_0056	Warning	b_07.01	C0110	Value entered as per closed set of option - DPM codes	LIST0601050
DOR_0057	Warning	b_01.01	C0010	Key Value is mandatory	
DOR_0058	Warning	b_01.02	C0010	Key Value is mandatory	
DOR_0059	Warning	b_01.03	C0010	Key Value is mandatory	
DOR_0060	Warning	b_01.03	C0020	Key Value is mandatory	
DOR_0061	Warning	b_02.01	C0010	Key Value is mandatory	
DOR_0062	Warning	b_02.02	C0010	Key Value is mandatory	
DOR_0063	Warning	b_02.02	C0020	Key Value is mandatory	
DOR_0064	Warning	b_02.02	C0030	Key Value is mandatory	
DOR_0065	Warning	b_02.02	C0040	Key Value is mandatory	
DOR_0066	Warning	b_02.02	C0050	Key Value is mandatory	
DOR_0067	Warning	b_02.02	C0060	Key Value is mandatory	
DOR_0068	Warning	b_02.03	C0010	Key Value is mandatory	
DOR_0069	Warning	b_02.03	C0020	Key Value is mandatory	
DOR_0070	Warning	b_03.01	C0010	Key Value is mandatory	
DOR_0071	Warning	b_03.01	C0020	Key Value is mandatory	
DOR_0072	Warning	b_03.02	C0010	Key Value is mandatory	
DOR_0073	Warning	b_03.02	C0020	Key Value is mandatory	
DOR_0074	Warning	b_03.02	C0030	Key Value is mandatory	
DOR_0075	Warning	b_03.03	C0010	Key Value is mandatory	
DOR_0076	Warning	b_03.03	C0020	Key Value is mandatory	
DOR_0077	Warning	b_04.01	C0010	Key Value is mandatory	
DOR_0078	Warning	b_04.01	C0020	Key Value is mandatory	
DOR_0079	Warning	b_05.01	C0010	Key Value is mandatory	
DOR_0080	Warning	b_05.01	C0020	Key Value is mandatory	
DOR_0081	Warning	b_05.02	C0010	Key Value is mandatory	
DOR_0082	Warning	b_05.02	C0020	Key Value is mandatory	
DOR_0083	Warning	b_05.02	C0030	Key Value is mandatory	
DOR_0084	Warning	b_05.02	C0040	Key Value is mandatory	
DOR_0085	Warning	b_06.01	C0010	Key Value is mandatory	
DOR_0086	Warning	b_06.01	C0040	Key Value is mandatory	
DOR_0087	Warning	b_07.01	C0010	Key Value is mandatory	
DOR_0088	Warning	b_07.01	C0020	Key Value is mandatory	
DOR_0089	Warning	b_07.01	C0030	Key Value is mandatory	

DOR_0090	Warning	b_07.01	C0040	Key Value is mandatory	