

DORA Preparation Checklist

1. Conduct a DORA Compliance Gap Assessment

1.1 Review existing IT risk management frameworks.

1.2 Identify areas of non-compliance.

1.3 Generate a detailed report with findings and recommendations.

2. Develop a DORA Compliance Pathway

2.1 Outline necessary actions to achieve compliance.

2.2 Assign task owners and set target completion dates.

2.3 Estimate budget requirements.

3. Engage Stakeholders Through Workshops

3.1 Educate business units on DORA requirements.

3.2 Ensure cross-departmental alignment.

3.3 Secure buy-in from senior management.

4. Budget Allocation and Resource Planning

4.1 Conduct a financial impact assessment.

4.2 Plan for operational costs, infrastructure upgrades, and technology assessments.

4.3 Assess third-party vendor compliance.

5. Update IT Risk Management Policies

5.1 Align policies with DORA's five pillars. Pillars: IT Risk Management, Incident Reporting, Digital Operational Resilience Testing, Management of Third-Party Risk & Information Sharing.

5.2 Implement necessary changes to meet compliance standards.

6. Enhance Cybersecurity Measures

6.1 Upgrade cybersecurity infrastructure.

6.2 Implement robust incident response systems.

6.3 Conduct regular security testing and audits.

7. Train Employees	<input type="checkbox"/>
7.1 Provide comprehensive training on DORA requirements.	<input type="checkbox"/>
7.2 Ensure ongoing education and awareness programs.	<input type="checkbox"/>
8. Review and Update Vendor Contracts	<input type="checkbox"/>
8.1 Ensure third-party vendors comply with DORA.	<input type="checkbox"/>
8.2 Renegotiate contracts as necessary to align with compliance requirements.	<input type="checkbox"/>
9. Monitor and Report Compliance Progress	<input type="checkbox"/>
9.1 Establish a monitoring system to track compliance efforts.	<input type="checkbox"/>
9.2 Regularly report progress to stakeholders.	<input type="checkbox"/>
10. Prepare for Regulatory Submissions	<input type="checkbox"/>
10.1 Ensure all documentation is ready for submission by the January 17, 2025 deadline.	<input type="checkbox"/>
10.2 Stay updated with any additional guidelines from European Supervisory Authorities (ESAs) and the European Union Agency for Cybersecurity (ENISA).	<input type="checkbox"/>

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