DORA Scope and management decision

Merge legal entities, relevant category, exceptions and the decision of the management body in one transaction.

Legal entity, function and scope

Determine the date, performance and role of responsibility with the own verification identifier.

Evidence of decision

Capture observation, scope and evidence per test step. Clear each open result before release.

What facts and evidence do the decision bear?

Select the information relevant to your criterion. Note version, location and reference to your own process for each document.

Own decision and open order

A management decision shall be valid and shall set out the open test requirements separately.

Transfer the sample case to the own holding

An approved bank uses an internal IT operation. The company of the IT operation does not conclude its own banking contracts.

Example check	Documented status
The benchmark of approval and the Bank's own activities are classified, and IT contract roles have been examined separately.	
Observation The tested service description is missing for Group IT.	
Reasoned follow-up	Keep the role of the service company open, resubmit and document the bank's decision separately.

Keeping your own deviation and expected effect

What acceptance changes your decision? Determine which own sample and what proof clarify the open question.

Connect test documents, findings and acceptance

Link each sample with a unique identifier. In case of a different activity, replace the criterion by the test position relevant to your job.

Delimiting banks and payment services

Art. 2 para. 1 (a?d) · Track an exempt payment service provider from the status to the documented framework decision.

Observation and evidence

Specify the observed result, location and status.

Assigning investment and market infrastructures

Art. 2 para. 1 para. e?j · Compare MiCA approval and concrete services with the legal entity used in the distributor.

Observation and evidence

Specify the observed result, location and status.

Correction, follow-up date and release

Determine the finding, the correction responsible, the post-test and the decision with date.