



OUTCOME REPORT OF SELF-ASSESSMENT RELATED TO ENTITIES' PREPARATION FOR DORA

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- Today, the CNMV published a report on the results of a self-assessment exercise carried out by 245 entities in relation to the main aspects of operational resilience included in the European DORA Regulation.
- The report also includes recommendations, expectations, regulatory issues worth highlighting and references to support materials of technical nature that may be helpful in the implementation of DORA.

Today, the Spanish National Securities Market Commission (CNMV) published a [report indicating the results of a self-assessment exercise carried out by 245 entities](#) (investment firms, management companies, and crowdfunding platforms).

Said self-assessment has allowed the entities subject to CNMV supervision to gain awareness of the main requirements set by DORA and has helped the CNMV to learn entities' current state of preparation prior to the Regulation's entry into force. Moreover, the CNMV has offered advice to entities on various issues raised during the questionnaire answering process (through the e-mail address ciberseguridad@cnmv.es).

To highlight the main conclusions, participating entities have been found, in general, to have strong governance, cybersecurity and business continuity measures in place, although in many cases there is a lack of periodic review or follow-up of such reviews. However, further shortcomings have been identified in the management of incidents, tests and risk management by ICT service providers.

In addition to the analysis of the responses, the report includes certain implementation tips and recommendations, highlighting the main regulatory aspects of DORA with references to a variety of tools and documentation that will facilitate the implementation of DORA's main requirements.