MFSA MALTA FINANCIAL SERVICES AUTHORITY

User Guidelines for Submitting Major ICT-Related Incident Reports

User Guidelines for submitting Major ICT-Related Incident Reports to the Malta Financial Services Authority through the Licence Holder Portal

Contents

Table of Abbreviations

LH Portal   Licence Holder Portal

MFSA   Malta Financial Services Authority

IRMS   Incident Reporting Management System

1. Introduction

This document provides the necessary guidelines to submit Major ICT-Related Incident Reports, for and on behalf of an Authorised Person, through the Licence Holder Portal ("LH Portal"). This document should be read in conjunction with Circular titled [Reporting of Major ICT-Related Incidents](#) and the following material released alongside these guidelines, [available](#) on the MFSA website (Our Work > Supervisory ICT Risk and Cybersecurity):

1. The Major ICT-Related Incident Reporting Process ('the Process Document');

2. Templates for Initial, Intermediate and Final Major ICT-Related Incident Reporting ('the Templates', 'the provided Templates').

1.1   Accessing the Licence Holder Portal

The LH Portal is a web-based application which enables all entities, licenced by the MFSA (Authorised Persons) to submit Personal Questionnaires (PQs), access their information, as well as upload regulatory returns/documentation. The LH Portal can be accessed through a web-browser via https://lhportal.mfsa.mt.

A project has been created within the LH Portal – the Incident Reporting Management System (IRMS) – for the submission of Major ICT-Related Incident Reports.

1.2   Registering and/or Logging In

A User is expected to Log-In to the LH Portal to be able to submit a Major ICT-Related Incident Report as illustrated in Figure 1.2.1 below.

Figure 1.2.1: LH Portal Log-In

Access to the IRMS is granted to specific users, typically approved Compliance Officers, acting for and on behalf of the Authorised Person/s. Users requiring access should initially Register on the LH Portal as illustrated in Figures 1.2.2 and 1.2.3 overleaf. Once an account is created, the designated person is to contact the Supervisory ICT Risk and Cybersecurity Team by sending an email to mirt@mfsa.mt to have his/her account linked with the IRMS project.

Figure 1.2.2: LH Portal Registering an Account (1)

Figure 1.2.3: LH Portal Registering an Account (2)

2. Submitting Major ICT-Related Incident Reports

The Authority expects Authorised Persons to report ICT-Related Incidents, whether of an operational or security nature, that reach the thresholds specified within the Process Document, and therefore classifying as 'Major'.

Reporting is expected to occur in a three-tier approach: an Initial Report; an Intermediate Report; and a Final Report in line with the Process Document and using the provided Templates.

2.1 Submitting an Initial Incident Report

Once the user has successfully signed in and accessed the IRMS page, the user is to select the 'Issue Initial Report' button (see Figure 2.1.1 below).
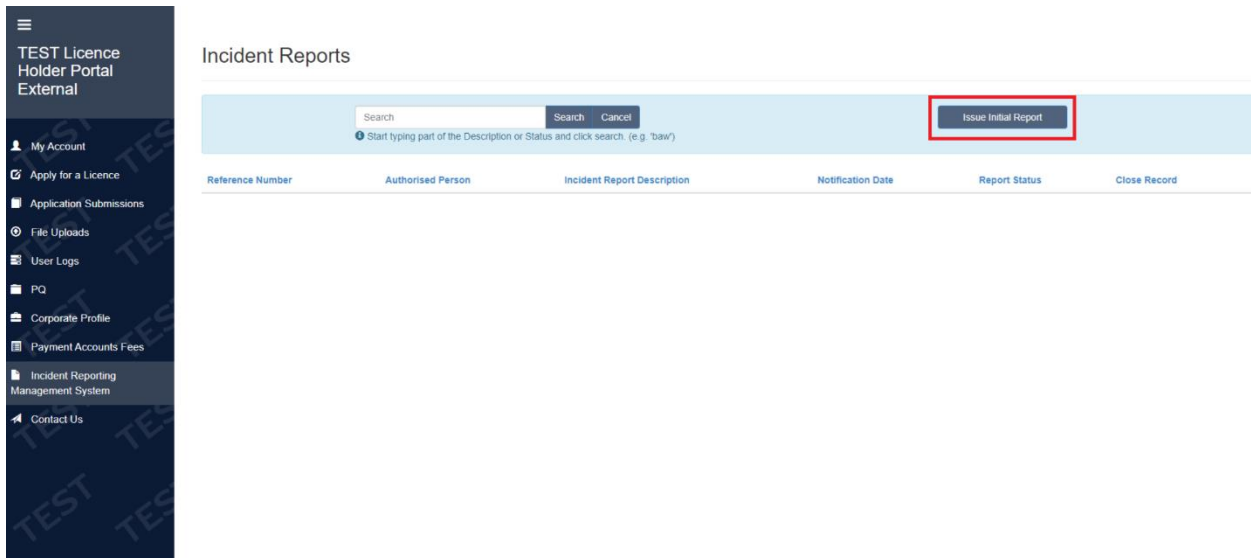

Figure 2.1.1: IRMS Main Page

The user will then be redirected to another page which is split into three (3) sections (see Figure 2.1.2 below).

Figure 2.1.2: IRMS New Incident Report Page

Section A: Incident Report Details

The user is to select the '*Authorised Person*', which was subject to the incident, from the drop-down list and include a short description for the incident within the '*Incident Report Description*'.

Section B: Reports

The user is to upload the <u>*Initial Report*</u> using the provided Template by selecting the '*Attach document here*' button under Section B.

Section C: Additional Documents (optional)

The user may upload any additional documents (in Microsoft Word, Excel or PDF format) related to the incident by selecting the '*Attach document here*' button under Section C.

After completing sections A, B and C above, the user will then need to select the '*Submit*' button located at the bottom of the page. The user will then be redirected to the incident report page where all the information related to the incident report submission is presented (see Figure 2.1.3 below).

Figure 2.1.3: IRMS Incident Record Page

2.2 Submitting an Intermediate Incident Report

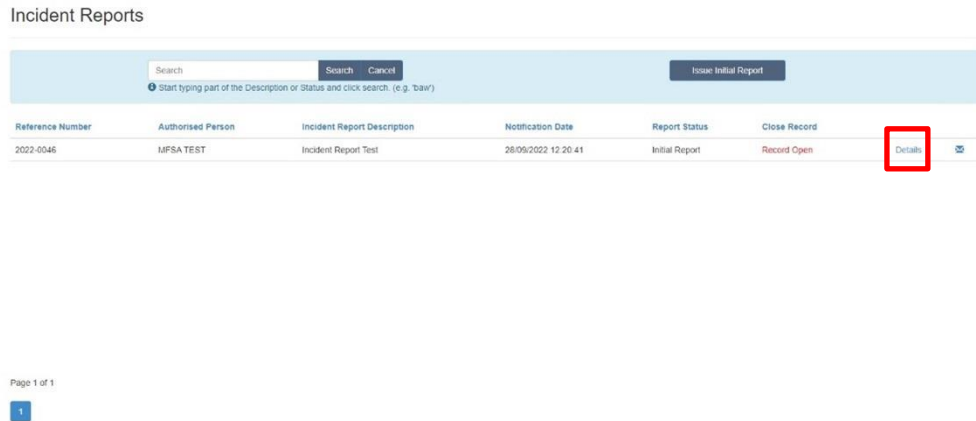The user is to select the '*Details*' button (see Figure 2.2.1 below) and will be redirected to the Incident Report Page.

Figure 2.2.1: IRMS Main Page

The user will then need to select the '*Upload Interim Report Documents*' button as illustrated in Figure 2.2.2 below.
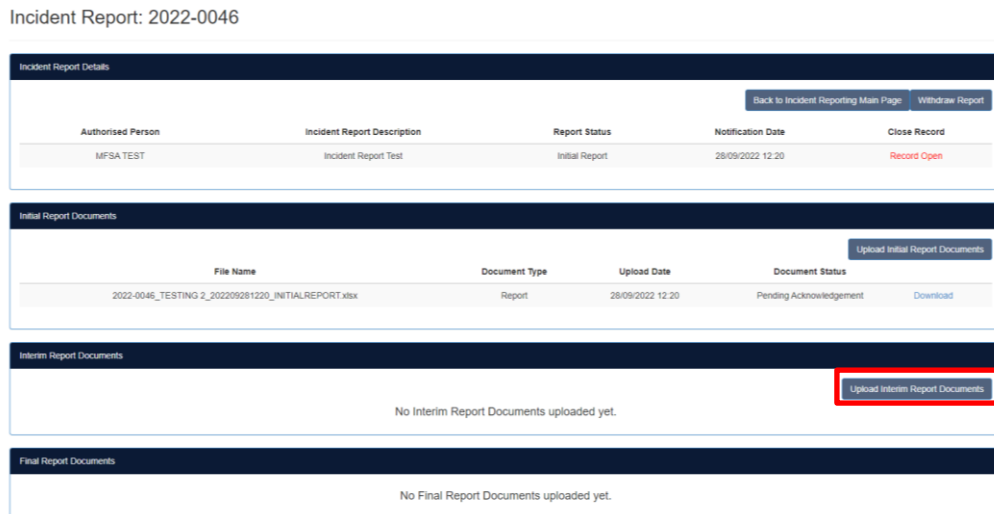

Figure 2.2.2: IRMS Incident Record Page

The user will be redirected to the Interim Incident Report page, which is also split into three (3) sections (see Figure 2.2.3 overleaf).

Incident Report: 2022-0046 - Interim Report

Figure 2.2.3: IRMS Interim Incident Report Page

Section A: Incident Report Details

This section will be pre-filled by the system and will include the same information that was previously inputted by the user when the incident record was initially created.

Section B: Reports

The user is to upload the _Intermediate Report_ using the provided Template by selecting the '*Attach document here*' button under Section B.

Section C: Additional Documents (optional)

The user may upload any additional documents (in Microsoft Word, Excel or PDF format) related to the incident by selecting the '*Attach document here*' button under Section C.

After completing sections A, B and C above, the user will then need to select the '*Submit*' button and will then be redirected to the incident report page where all the new information related to the incident is presented (see Figure 2.2.4 overleaf).

Incident Report: 2022-0046

Incident Report Details

		Back to Incident Reporting Main Page	Withdraw Report

Authorised Person	Incident Report Description	Report Status	Notification Date	Close Record
MFSA TEST	Incident Report Test	Interim Report	28/09/2022 12:20	Record Open

Initial Report Documents

			Upload Initial Report Documents

File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281220_INITIALREPORT.xlsx	Report	28/09/2022 12:20	Pending Acknowledgement	Download

Interim Report Documents

			Upload Interim Report Documents

File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281422_INTERIMREPORT.xlsx	Report	28/09/2022 14:22	Pending Acknowledgement	Download

Final Report Documents

	Upload Final Report Documents

No Final Report Documents uploaded yet.

Figure 2.2.4: IRMS Incident Record Page

2.3   Submitting a Final Incident Report

The user is to select the '*Details*' button (see Figure 2.3.1 below) and will be redirected to the Incident Report Page.
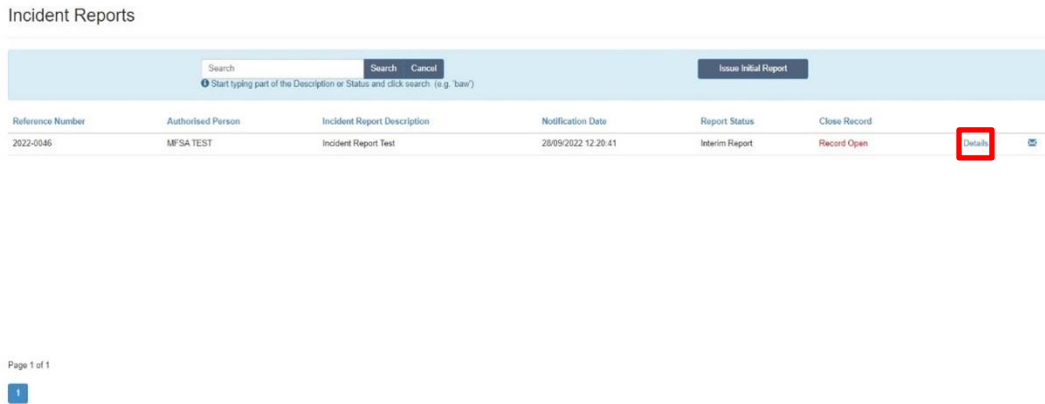

Figure 2.3.1: IRMS Main Page

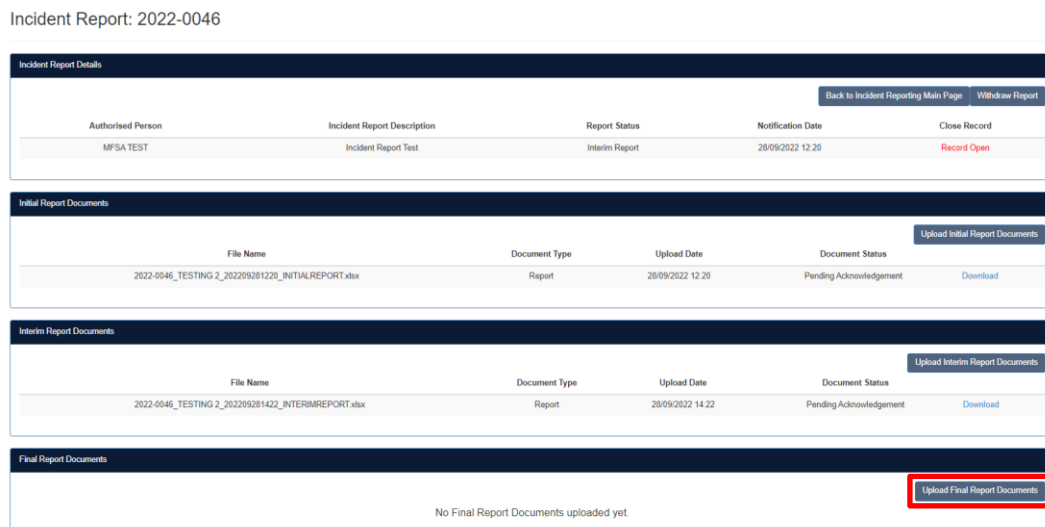The user will then need to select the '*Upload Final Report Documents*' button as illustrated in Figure 2.3.2 below.

Figure 2.3.2: IRMS Incident Record Page

The user will be redirected to the Final Incident Report page, which is also split into three (3) sections (see Figure 2.3.3 overleaf).

Incident Report: 2022-0046 - Final Report

Figure 2.3.3: IRMS Final Incident Report Page

Section A: Incident Report Details

This section will be pre-filled by the system and will include the same information that was previously inputted by the user.

Section B: Reports

The user is to upload the <u>*Final Report*</u> using the provided Template by selecting the '*Attach document here*' button under Section B.

Section C: Additional Documents (optional)

The user may upload any additional documents (in Microsoft Word, Excel or PDF format) related to the incident by selecting the '*Attach document here*' button under Section C.

After completing sections A, B and C above, the user will then need to select the '*Submit*' button and will then be redirected to the incident report page where all the new information related to the incident is presented (see Figure 2.3.4 overleaf).

Incident Report: 2022-0046

Incident Report Details					
				Back to Incident Reporting Main Page	Withdraw Report
Authorised Person	Incident Report Description	Report Status	Notification Date		Close Record
MFSA TEST	Incident Report Test	Final Report	28/09/2022 12:20		Record Open

Initial Report Documents				
				Upload Initial Report Documents
File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281220_INITIALREPORT.xlsx	Report	28/09/2022 12:20	Pending Acknowledgement	Download

Interim Report Documents				
				Upload Interim Report Documents
File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281422_INTERIMREPORT.xlsx	Report	28/09/2022 14:22	Pending Acknowledgement	Download

Final Report Documents				
				Upload Final Report Documents
File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281437_FINALREPORT.xlsx	Report	28/09/2022 14:37	Pending Acknowledgement	Download

Figure 2.3.4: IRMS Incident Record Page

3. Resubmission of a Major ICT-Related Incident Report

3.1   Resubmission of Reports

In case the assigned MFSA analyst is not satisfied with any of the submitted reports (for instance, a submitted report lacks the necessary completeness, or a Template file format has been tampered with), the Authorised Person will be requested to carry out a resubmission. The respective '*Document Status*' within the incident record will appear as '*Request Resubmission*' (see Figures 3.1.1 to 3.1.3 below and overleaf).

Figure 3.1.1: IRMS Incident Record Page | Resubmission of <u>Initial Report</u>

Figure 3.1.2: IRMS Incident Record Page | Resubmission of Interim Report

Figure 3.1.3: IRMS Incident Record Page | Resubmission of Final Report

The user will then need to select the '*Upload [Initial, Interim or Final] Report Documents*' and upload and submit the updated version/s of the respective reports (see Figures 3.1.4 to 3.1.6 below and overleaf).

Incident Report: 2022-0046 - Initial Report

Figure 3.1.4: Resubmission of <u>Initial Report</u>

Incident Report: 2022-0046 - Interim Report

Figure 3.1.5: Resubmission of <u>Interim Report</u>

Incident Report: 2022-0046 - Final Report

Section A: Incident Report Details

Authorised Person

MFSA TEST

Incident Report Description

Incident Report Test

Section B: Reports

Kindly attach here the Final Report in Excel Format

2022-0046_TESTING 2_202209281437_FINALREPORT.xlsx

Attach document here

Section C: Additional Documents

Attach here any documentation/information which is material to the Application, the information included therein and its subsequent processing. (Attachments must be in Word, PDF or Excel Format)

Attach document here

Submit Exit

Figure 3.1.6: Resubmission of <u>Final Report</u>

4. Engaging with the assigned MFSA Analyst through the IRMS

Authorised Persons are able to engage with the assigned MFSA analyst through the IRMS within the LH Portal in relation to the incident by using the '*Contact*' button on the far right of the incident record as illustrated in Figures 4.1 and 4.2 below which provides a chat-box facility.
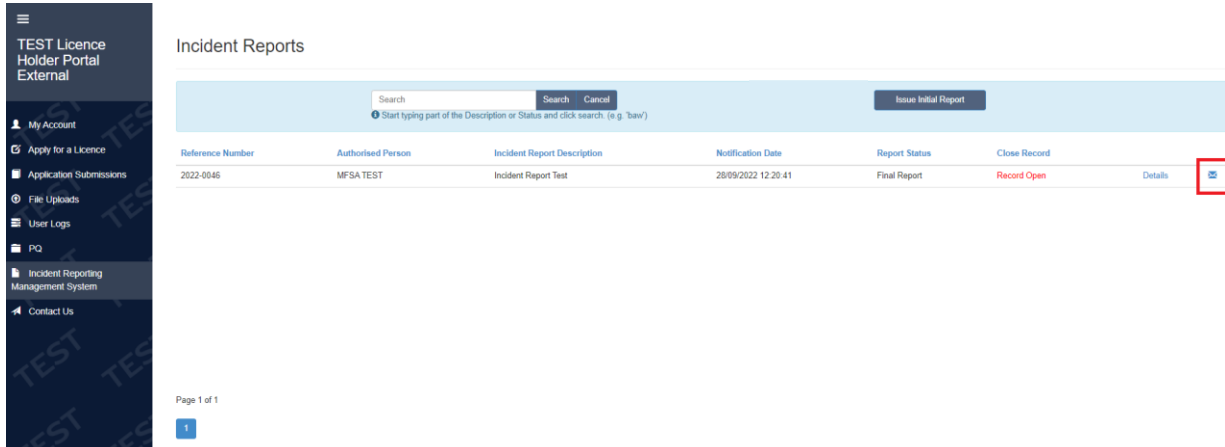

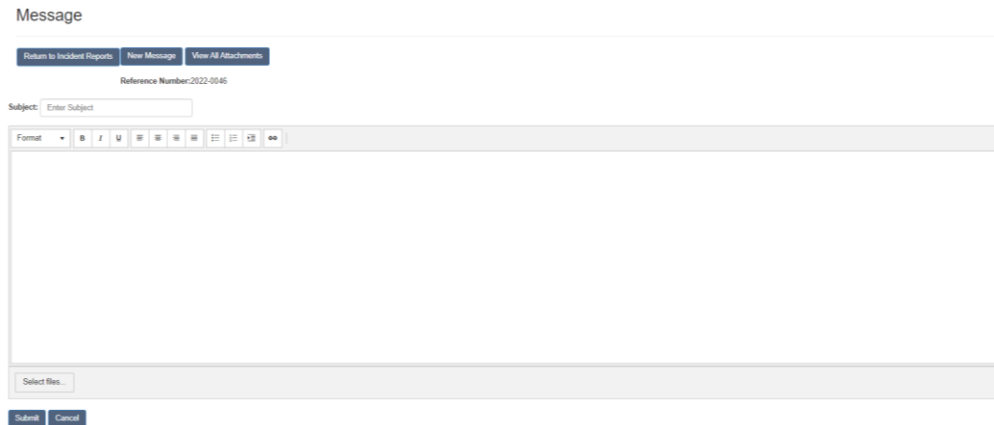*Figure 4.1: IRMS Main Page*

Figure 4.2: IRMS Incident Contact Page

5. Withdrawing Major ICT-Related Incident Reports

If a reported incident, upon further investigation, is afterwards determined not to qualify as 'major', the Authorised Person has the facility to withdraw its submission through the IRMS.

The user has to select the *'Details'* button (see Figure 5.1 below) and will subsequently be redirected to the Incident Report Page.
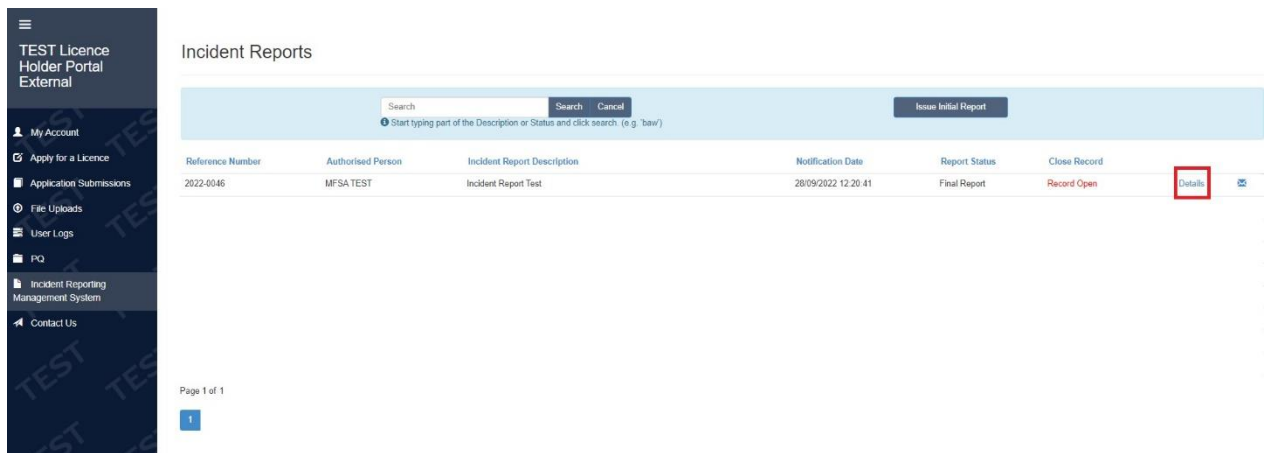

Figure 5.1: IRMS Main Page

The user will then need to select the '*Withdraw Report'* button as illustrated in Figure 5.2 overleaf.

Incident Report: 2022-0046

Figure 5.2: IRMS Incident Record Page

The user will get a pop-up notification (see Figure 5.3 below) to provide a valid reason for withdrawal within the text box provided, before pressing the *'Withdraw Report'* button.

Figure 5.3: IRMS Withdraw Report Pop-Up Notification

Following the withdrawal of the incident, the IRMS will automatically update the incident record as seen in figure 5.4 and 5.5 overleaf.

Incident Report: 2022-0046

Incident Report Details

				Back to Incident Reporting Main Page
Authorised Person	Incident Report Description	Report Status	Notification Date	Close Record
MFSA TEST	Incident Report Test	Final Report	28/09/2022 12:20	Record Withdrawn

Reason for Report Withdrawal

Initial Report Documents

File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281220_INITIALREPORT.xlsx	Report	28/09/2022 12:20	Acknowledged	Download

Interim Report Documents

File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281422_INTERIMREPORT.xlsx	Report	28/09/2022 14:22	Acknowledged	Download

Final Report Documents

File Name	Document Type	Upload Date	Document Status	
2022-0046_TESTING 2_202209281437_FINALREPORT.xlsx	Report	28/09/2022 14:37	Pending Acknowledgement	Download

Figure 5.4: IRMS Incident Record Page

Figure 5.5: IRMS Main Page | After withdrawal

6. Contacting Us

In case of any difficulties, do not hesitate to contact us on +356 2548 5260 or by sending an email to mirt@mfsa.mt.