

## Case Study: DORA Compliance Review

### Scenario

You have been assigned to review client policies to ensure their adherence to the Digital Operational Resilience Act (DORA). The client, a financial institution, must update its policies to comply with DORA requirements. Your objective is to identify any deficiencies within the current policies and provide recommendations on how to amend them for full compliance with DORA.

### Objectives

- Identify missing elements in client policies based on DORA requirements.
- Recommend amendments to ensure compliance with DORA.

### Specific Tasks

- Review the client's existing policies and compare them against DORA requirements.
- Identify any gaps or missing elements in the policies that need to be addressed.
- Provide detailed recommendations on how to amend the policies to ensure they are fully compliant with DORA.
- Outline a plan for implementing the recommended changes, including any necessary steps or resources.
- The output should be provided in word format.

### Baseline Preapproved Policy Templates

To ensure consistency and alignment in all recommendations, please refer to the following baseline preapproved policy templates. These templates serve as a reference for what a compliant policy section might look like under DORA.

### Example Template: Incident Response Policy

**Policy Title:** Incident Response Policy

**Policy Objective:** To establish a framework for responding to cybersecurity incidents in compliance with DORA.

**Scope:** This policy applies to all employees, contractors, and third-party service providers.

**Policy Statement:** The organisation shall establish and maintain an incident response plan that includes the following elements:

- Incident identification and classification
- Incident reporting and communication
- Incident containment and eradication
- Incident recovery and post-incident analysis
- Regular testing and updating of the incident response plan

**Responsibilities:** The Chief Information Security Officer (CISO) is responsible for the implementation and oversight of this policy.