

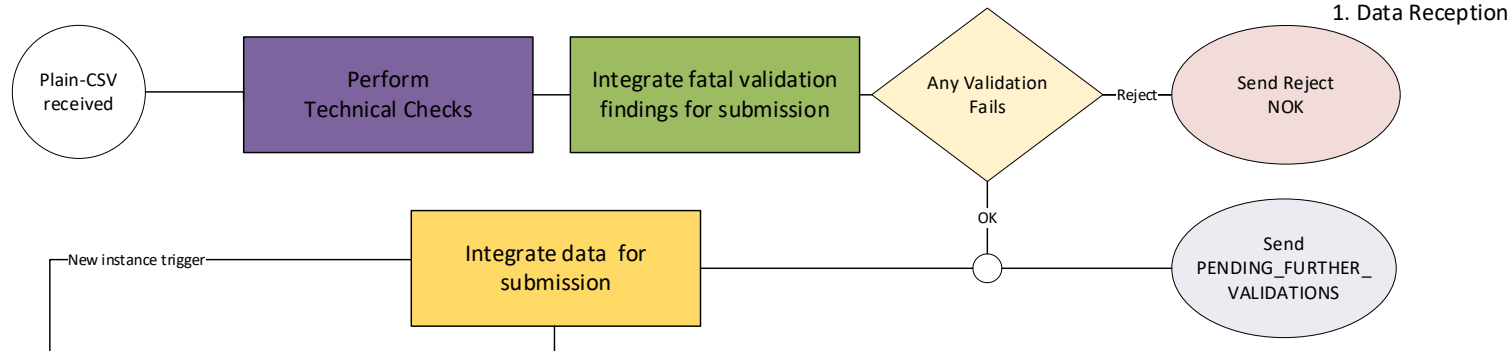
Explanation of data quality feedback from Registers of information (RoI) validations by the ESAs

RoI validations - Overview

- DORA will perform 4 types of validations. All validations are listed on the EBA website under this link
- <https://www.eba.europa.eu/sites/default/files/2025-01/3c9f34b6-236f-4520-ac05-02ffb9d63fb5/Overview%20of%20the%20RoI%20reporting%20technical%20checks%20and%20validation%20rules.xlsx>
- They are organised in 4 categories
 1. Technical Validations
 2. DPM Technical Checks
 3. DPM Business Validation Rules
 4. EUID and LEI Checks.

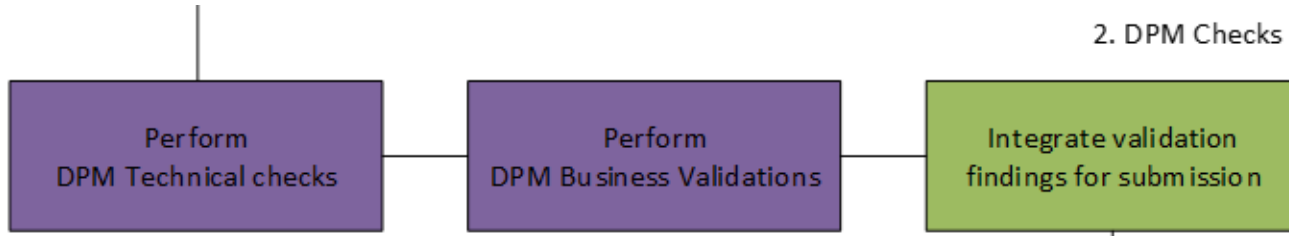
The next slides show which validations are performed in which step of the process.

RoI Validations – Technical Validations



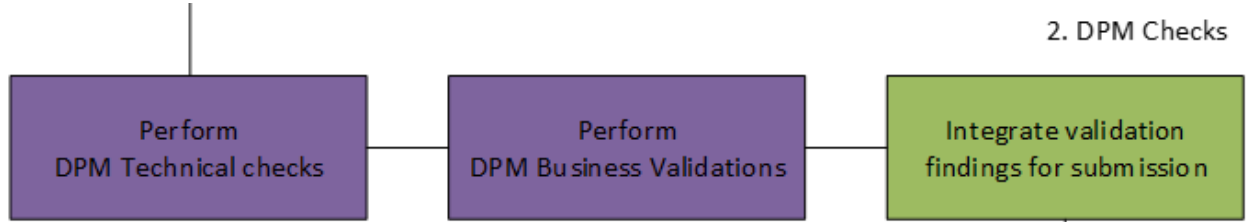
Rule code	Category	Rule description
102	Reception	SFTP report file size must not exceed 10GB
103	Reception	ZIP consistency (checksum, unzips correctly).
104	Reception	Filename allowed characters: alphanumeric plus hyphens ('-'), underscores ('_') and dots ('.')
105	Reception	Filename structure (ReportSubject_Country_FrameworkCodeModuleVersion_Module_ReferenceDate_CreationTimestamp)
106	Reception	Filename module inconsistency with the report category (SUP, REM, RES,PAY,DORA,PILLAR3)
107	Reception	For CA submitted reports, the submission path country must match the filename country code
109	Reception	Filename reference date is valid date with format 'yyyy-mm-dd'
110	Reception	Each submitted report filename must be unique - duplicate filenames are not allowed
111	Reception	Reference date in the filename cannot be in the future
115	Reception	DORA submitted report files must be a zip containing plain-csv
701	CSV	CSV zip file must contain reports/report.json, reports/FilingIndicators.csv and reports/parameters.csv files and must be non-empty
702	CSV	Invalid declarations in FilingIndicators.csv - wrong number of columns reported
703	CSV	Each template can be declared only once in FilingIndicators.csv
704	CSV	Only boolean values (true, false, 1, 0) are allowed for any template code in FilingIndicators.csv
705	CSV	Missing filing indicator value - the true/false value is missing - only template code is present
714	CSV	The 'entityID' parameter must exist and its value must match filename
720	CSV	Valid table names must be used as .csv filenames
801	Additional Plain-csv	All the header column codes must be defined in the taxonomy json files (in DPM)
802	Additional Plain-csv	No column can be reported twice
803	Additional Plain-csv	For closed tables, all the row identifier must match those in the dpm
804	Additional Plain-csv	For closed tables, No row identifier can be reported twice
805	Additional Plain-csv	For open tables, the key columns values cannot be empty
807	Additional Plain-csv	The reported data must follow the key-foreign key constraints defined in the DPM
808	Additional Plain-csv	All filing indicators have to be sent as true - and the templates reported empty if no data is present

Rol Validations – DPM Technical Checks



1	List of DPM technical checks to be applied by the EBA to the received DORA registers of information		
2	Rule code	Category	Rule description
3	305	DPM Technical Checks	Numeric fact must not be reported with a string value
4	306	DPM Technical Checks	XBRL instance documents must use UTF-8 encoding.
5	320	DPM Technical Checks	Reference date inside an instance as well as within filename must be valid (FR 2.13, FR 2.10)
6	330	DPM Technical Checks	Date type metric must be reported with format 'yyyy-mm-dd'
7	331	DPM Technical Checks	Integer type metric must be reported with an integer
8	332	DPM Technical Checks	Boolean type metric must be reported with a boolean value (true/false/1/0)
9	333	DPM Technical Checks	trueItemtype must be reported with true value
10	503	DPM Technical Checks	Extensible main property and explicit key dimension must only be reported with one of the restricted value of a hierarchy
11	505	DPM Technical Checks	Each report must contain a report.json and this one must point to endpoint json file for the module
12	510	DPM Technical Checks	The values of filing indicators MUST only be those given by the label resources with the role http://www.eurofiling.info/xbrl/role/filing-indicator-code (the values are also present in TemplateCode field of Template table in DPM) (FR 1.6.3)
13	512	DPM Technical Checks	The module referenced by the instance document must not refer to a taxonomy having FromDate = ToDate
14	514	DPM Technical Checks	Reporting subject must include entity type with '!' qualifier if the reference date is on or after 2022-12-31, and the module code does not contain CON or IND
15	806	Additional Plain-csv	For open tables, you cannot have multiple rows with identical key values
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RoI Validations – DPM Business Validations Rules



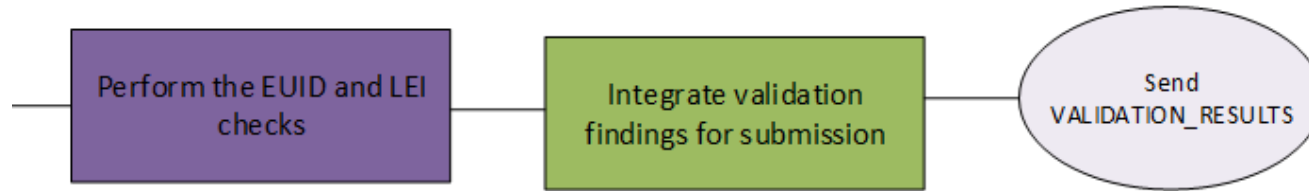
2. DPM Checks

List of DPM based validation checks to be applied by the EBA to the DORA registers of information as extracted from the reporting technical package v4.0

Please note: The validation checks are valid with respect to the data point model provided in the EBA technical reporting package v4.0 (see: <https://www.eba.europa.eu/risk-and-data-analysis/reporting-frameworks/reporting-framework-40>) and are valid for the reporting of registers in 2025. For any further verify EBA reporting frameworks valid at the time of reporting.

Code	Type	Source	Frameworks	Modules	Implemented in XBRL	Tables	Expression
e23674_e	Validation	Existence	DORA	DORA		B_05.01	with {tB_05.01, default:null, interval:false}; not (isnull ({c0020, c0050, c0060, c0070, c0080, c0110}))
e23675_e	Validation	Existence	DORA	DORA		B_01.03	with {tB_01.03, default:null, interval:false}; not (isnull ({c*}))
e23676_e	Validation	Existence	DORA	DORA		B_01.02	with {tB_01.02, default:null, interval:false}; not (isnull ({c0020-0090}))
e23677_e	Validation	Existence	DORA	DORA		B_01.01	with {tB_01.01, default:null, interval:false}; not (isnull ({c*}))
e23680_e	Validation	Existence	DORA	DORA		B_02.02	with {tB_02.02, default:null, interval:false}; not (isnull ({c0040-0080}))
e23681_e	Validation	Existence	DORA	DORA		B_07.01	with {tB_07.01, default:null, interval:false}; not (isnull ({c0050, c0070, c0080, c0090, c0100, c0110}))
e23682_e	Validation	Existence	DORA	DORA		B_06.01	with {tB_06.01, default:null, interval:false}; not (isnull ({c0020, c0030, c0050, c0070, c0080, c0090, c0100}))
e23683_e	Validation	Existence	DORA	DORA		B_04.01	with {tB_04.01, default:null, interval:false}; not (isnull ({c0030}))
e23792_e	Validation	Existence	DORA	DORA		B_02.01	with {tB_02.01, default:null, interval:false}; not (isnull ({c0020, c0040, c0050}))
v22912_m	Validation	User defined	DORA	DORA		B_02.01	with {tB_02.01, default: null, interval: false}; if ({c0020} = [eba_CO:x3]) then (not (isnull ({c0030}))) endif
v22913_s	Validation	Sign	DORA	DORA		B_01.02	with {tB_01.02, default: null, interval: false}; {c0110} >= 0
v23716_s	Validation	Sign	DORA	DORA		B_02.01	with {tB_02.01, default: null, interval: false}; {c0050} >= 0
v8803_m	Validation	User defined	DORA	DORA		B_01.02	with {tB_01.02, default: 0, interval: false}; if (not (isnull ({c0110}))) then (not (isnull ({c0100}))) endif
v8804_m	Validation	User defined	DORA	DORA		B_01.02	with {tB_01.02, default:0, interval:false}; if ({c0040} != [eba_CT:x318] and {c0040} != [eba_CT:x317]) then (not (isnull ({c0110}))) endif
v8805_m	Validation	User defined	DORA	DORA		B_02.01	with {tB_02.01, default: 0, interval: false}; if {c0020} = [eba_CO:x3] then (not (isnull ({c0030}))) endif
v8816_m	Validation	User defined	DORA	DORA		B_02.02	with {tB_02.02, default: 0, interval: false}; {c0080} > {c0070}
v8817_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default:0, interval: false}; if ({c0070} = [eba_CT:x212]) then ({c0020} in ([eba_qCO:qx2000], [eba_qCO:qx2002])) endif
v8818_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default:0, interval: false}; if ({c0070} = [eba_CT:x212]) then ({c0040} in ([eba_qCO:qx2000], [eba_qCO:qx2002])) endif
v8821_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default:0, interval: false}; if ({c0020} = [eba_qCO:qx2000]) then ((match({c0030}, "[A-Z0-9]{18} 0-9 2 5\$"))) endif
v8823_m	Validation	User defined	DORA	DORA	No	B_05.01	with {tB_05.01, default: 0, interval: false}; if ({c0030} != "null") then ({c0040} != "null") endif
v8824_m	Validation	User defined	DORA	DORA	No	B_05.01	with {tB_05.01, default: 0, interval: false}; if ({c0100} != "null") then ({c0090} != "null") endif
v8825_m	Validation	User defined	DORA	DORA		B_07.01	with {tB_07.01, default:0, interval: false}; if ({c0050} = [eba_ZZ:x959] or {c0050} = [eba_ZZ:x960]) then (not (isnull ({c0060}))) endif
v8826_m	Validation	User defined	DORA	DORA		B_01.02	match({tB_01.02, c0060}, "[A-Z0-9]{18} 0-9 2 5\$")
v8850_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0050}))) or not ((isnull ({c0060}))) or not ((isnull ({c0070}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8851_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0020}))) or not ((isnull ({c0060}))) or not ((isnull ({c0070}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8852_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0050}))) or not ((isnull ({c0020}))) or not ((isnull ({c0070}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8853_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0050}))) or not ((isnull ({c0060}))) or not ((isnull ({c0020}))) or not ((isnull ({c0070}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8854_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0050}))) or not ((isnull ({c0060}))) or not ((isnull ({c0070}))) or not ((isnull ({c0020}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8855_m	Validation	User defined	DORA	DORA		B_05.01	with {tB_05.01, default: null, interval: false}; if (not (isnull ({c0030}))) or not ((isnull ({c0040}))) or not ((isnull ({c0050}))) or not ((isnull ({c0060}))) or not ((isnull ({c0070}))) or not ((isnull ({c0080}))) or not ((isnull ({c0090})))))
v8856_m	Validation	User defined	DORA	DORA		B_01.03	with {tB_01.03, default: null, interval: false}; if (not (isnull ({c0030}))) then ((not (isnull ({c0040}))))) endif
v8857_m	Validation	User defined	DORA	DORA		B_01.03	with {tB_01.03, default: null, interval: false}; if (not (isnull ({c0040}))) then ((not (isnull ({c0030}))))) endif

RoI Validations – LEI and EUI checks

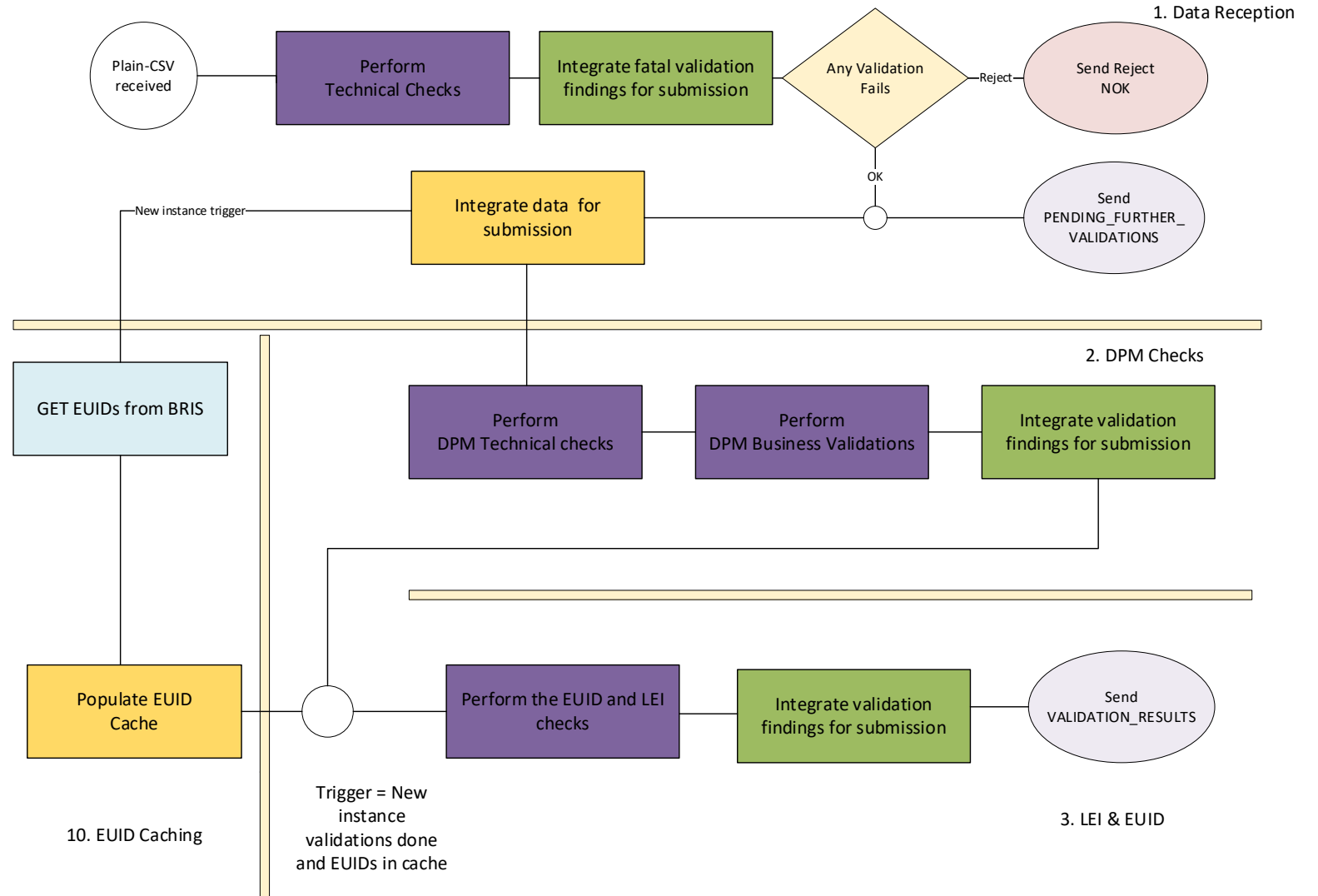


New ID	Rule Type	Type	Template 1	Template 1 name	Columns 1	Template 2	Columns 2	DPM content used	If value missing	Narrative explanation
List of business checks to be applied by the EBA to the received DORA registers of information										
VR_2	Business Check	LEI code validity	b_01_01	Entity maintaining the register of information	c0010				do not run rule	LEI code needs to be a valid one according to the LEI standard
VR_12	Business Check	LEI code validity	b_01_02	List of entities within the scope of the register of information	c0010				do not run rule	LEI code needs to be a valid one according to the LEI standard
VR_16	Business Check	Country Code validity	b_01_02	List of entities within the scope of the register of information	c0030				do not run rule	Code needs to be a valid one according to the LEI standard
VR_23	Business Check	LEI code validity	b_01_02	List of entities within the scope of the register of information	c0060				do not run rule	LEI code needs to be a valid one according to the LEI standard
VR_71	Business Check	LEI code validity	b_05_01	ICT third-party service providers	c0010				do not run rule	LEI code needs to be a valid one according to the LEI standard
VR_72	Business Check	EUID code validity	b_05_01	ICT third-party service providers	c0010				do not run rule	EUID code needs to be a valid one according to the EUID standard
VR_77	Business Check	LEI code validity	b_05_01	ICT third-party service providers	c0030				do not run rule	LEI code needs to be a valid one according to the LEI standard
VR_78	Business Check	EUID code validity	b_05_01	ICT third-party service providers	c0030				do not run rule	EUID code needs to be a valid one according to the EUID standard

RoI Validations – Response builder

Response

- Response builder will be called exactly twice
- Response format is .zip of .csv
- 2 places for feedback
 - 1 feedback if rejected NOK
 - 2 feedbacks if not rejected
- All findings will be sent



RoI Validations – data quality automated feedback

- **Response Format:**

- A zip file with **two CSV** files
- One file with the instance level feedback and one with a table of all the findings

- **Response Names:**

- **Reject DORA Report – REJECTED (NOK):**

- 549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498_NOK_20250405164729943.zip

- **Acknowledgment of Receipt - PENDING_FURTHER_VALIDATIONS (PEN):**

- 549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498_PEN_20250405164729943.zip

- **Results of DPM and EUID/LEI checks - VALIDATION_RESULTS(RES):**

- 549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498_RES_20250405164729943.zip

- **Structure is:**

- 549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498_RES_20250405164729943.zip
- -- 549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498_RES_20250405164729943 (folder)
- --- instance-status.csv
- --- detailed-feedback.csv (in the case of PENDING_FURTHER_VALIDATIONS, no detailed-feedback.csv will be present in the zip file)

RoI Validations – data quality automated feedback example

- One file with the instance level feedback and one with a table of all the findings
- **Instance status information:**
 - receivedFile,549300Q5EH2NP82EPE32.CON_BE_DORA010100_DORA_2025-03-31_20250320120441498.zip
 - receivedTime,2025-03-20T11:14:27+0000
 - receivedFrom,EU_ECB
 - receivedOver,A2A
 - feedbackMain,REJECTED/PENDING_FURTHER_VALIDATIONS/VALIDATION_RESULTS
 - feedbackText,"Multiple business validation rules triggered: VR_85, VR_99, VR_23"
- **Detailed feedback**
 - templateCode,rowCode/rowNumber,columnCode,ruleCode,message,offendingValue
 - b_05_01,1,c0080,VR_85,Value should not be missing,
 - b_06_01,81,c0070,VR_99,Value should not be missing,
 - b_01_02,5,c0060,VR_23,LEI not in GLEIF database,549300Q5EH2NP82EPE34