



EUROPEAN CENTRAL BANK

EUROSYSTEM

# TIBER-EU

## Initiation Documents Guidance

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# 1 Introduction

The initiation documents (IDs) summarize the main project planning aspects of a TIBER test. As such, they include not only the time planning of the project, but also the relevant contacts, project codename and communication channels. They serve as organisational basis and starting point for the test.

## 1.1 Purpose of this document

The purpose of this document is to provide the relevant stakeholders with information on the requirements<sup>1</sup> for the content and format of the TIBER-EU IDs. It also aims at providing guidance on important aspects to be considered during drafting.

## 1.2 Target audience

This TIBER-EU Initiation Documents Guidance is mainly aimed at the control team lead (CTL) creating a set of IDs in the scope of a TIBER test. Beyond that, it may be useful to all stakeholders of a TIBER engagement to understand the nature of the IDs and their content.

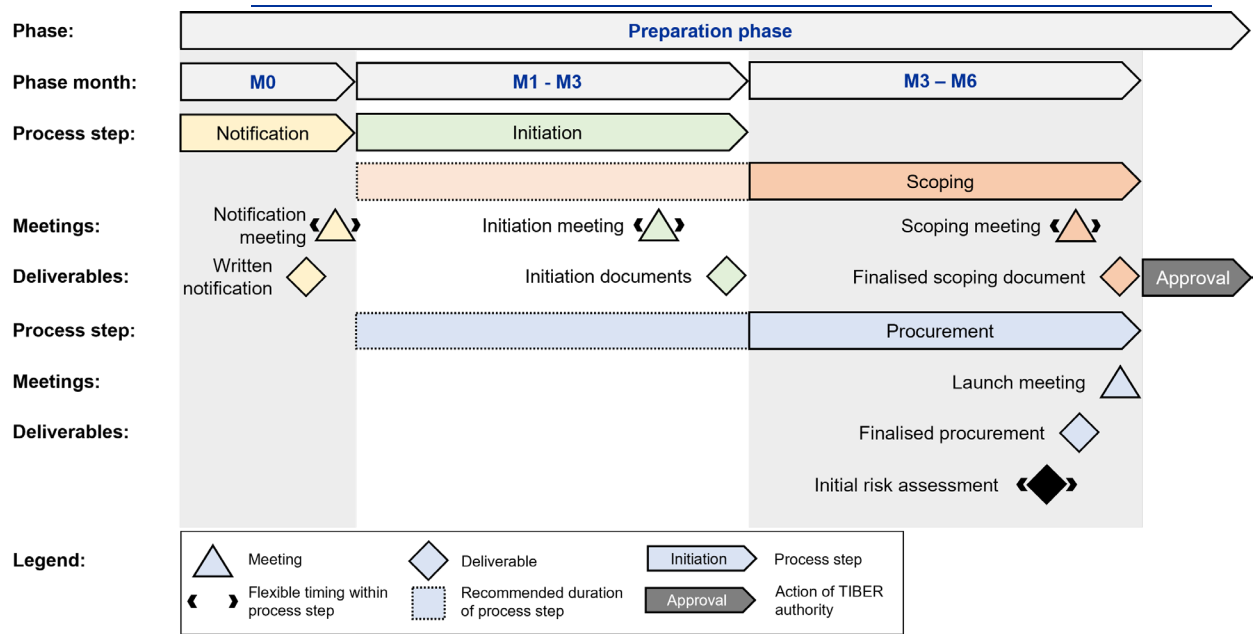
## 1.3 Location within testing process

The IDs are created by the CTL in the preparation phase during the initiation process step, after the entity has received a written notification.

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<sup>1</sup> In addition to the minimum requirements for complying with the TLPT obligations under DORA, this document also includes operational TIBER-EU guidance based on best practices, knowledge and experience from numerous previous tests.

**Figure 1<sup>2</sup>**  
Initiation process step & documents



<sup>2</sup> Note that only the actions of the TIBER authority are included in the figure that have an impact on the timelines of the test. The figure is not an exhaustive overview of all actions to be undertaken by the involved stakeholders.

## 2 Required content of the initiation documents

The IDs shall include a project charter including and at least the following information:

- A high-level project plan with the expected deadlines for the completion of the:
  - preparation phase;
  - testing phase;
  - closure phase;
- contact details of the person responsible for the project plan, i.e. the CTL;
- information on the intended use of internal or external testers;
- communication channels to be used for:
  - email (including encryption);
  - online data rooms;
  - instant messaging;
- code name for the test
- if any, a list of critical or important functions (CIF) which the financial entity operates in other member states with indication of the member state(s) in which the CIF is operated;
- if any, a list of CIFs supported by ICT third-party service providers with identification of the ICT third-party service provider for each CIF.

## 3 Considerations when drafting the initiation documents

The IDs, including the project charter with a high-level project plan, are the first substantial tasks for the CTL to complete in a TIBER-EU test, as the IDs allow for the test manager (TM) to adequately assess whether or not the test is ready to proceed. During the initiation process step, the CTL and TM may discuss any potential issues to be addressed before the test can commence.

The tested entity should carefully appoint a CTL, who will be responsible for the day-to-day management of the test within the entity. More information on selecting a CTL can be found in the TIBER-EU Control Team Guidance.

As only a few individuals should be aware of the test in the initiation phase, the use of confidential and secure communication channels is warranted. The CTL should be aware that the blue team (BT) may be able to see any communication on the entity's internal network. The appropriate use of codenames during the test is therefore mandatory in TIBER-EU.

When drafting the project plan and setting the dates for the high-level deadlines, the CTL should ensure that the plan and dates are aligned with the deadlines mentioned in the TIBER-EU framework. Furthermore, the CTL should also ensure that the plan and dates are aligned with any timelines communicated by the TIBER cyber team (TCT) in the written notification or agreed upon at the notification meeting.

To decide which stakeholders to involve in the test and how this involvement should be, it is important that the IDs provide a full overview of CIFs supported by ICT third-party service providers. Also, to determine whether TIBER authorities in other jurisdictions should be involved in the test, it is important the IDs provide a full overview of the CIFs which the financial entity operates in other member states.

## 4 Drafting format

The TIBER-EU Initiation documents might be drafted in any preferred format, provided that all required information is included. All content that needs to be provided in order to complete this document is indicated in Chapter 2.

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For specific terminology please refer to the [ECB glossary](#) (available in English only).

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