

# Instructions on IT Risk Questionnaire

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## A.1 Technical information about OneGate and the ITQ domain

OneGate is a fully secure online application that the National Bank of Belgium provides for declarers. Institutions can either enter their data manually or use automated reporting with the help of files generated in CSV or XML format.

For further information on the technical aspects, please contact OneGate Access ([access.onegate@nbb.be](mailto:access.onegate@nbb.be)) or click on the link below to check out the various FAQs:

FR: <https://www.nbb.be/fr/statistiques/onegate-declarations/faq-onegate>

NL: <https://www.nbb.be/nl/statistieken/aanmelden-bij-onegate/onegate-aangiften/faq-onegate>

EN: <https://www.nbb.be/en/statistics/onegate-declarations/faq-onegate>

The following is a description of the data formats expected in the ITQ domain, along with a few examples of ways in which data can be delivered in CSV or XML format.

A form in Onegate is made up of a series of items, represented as lines in a table, for which one or more elements must be provided, in turn given as columns in a table. Each item (line) has a reference, which follows the C005 feature format set out below (see A.1.1.2.1). Each column also has a reference, which follows the C010 feature format (see A.1.1.2.2). The elements, given at the intersection between an item and a column, are all attributed their own feature format. These are set out in sections A.1.1.2.3 to A.1.1.2.9 below.

The item numbers are already there in the OneGate questionnaire and do not have to be entered by the user when using the online form. These codes must nevertheless be mentioned for each line when using a CSV file or for each element when the XML format is used.

In addition, when using an XML file, each element must contain three fields: the item number, the column number and the value for the element. The feature formats must be given for each of the fields.

```
<Item>
  <Dim prop="C005">R0070</Dim>  'numéro de rubrique
  <Dim prop="C010">C0010</Dim>  'numéro de colonne
  <Dim prop="C201">1</Dim>      'Valeur reportée, associée au format de la
caractéristique, ici le format "C201" correspondant à un Booléen
</Item>
```

When using the CSV format, the references for the column and the feature format are implied.



## A.1.1 Data glossary

### A.1.1.1 Feature formats

The format for each feature will be defined in the following way:

Feature	Description
FMT X(n)	alphanumeric field of n position(s).
FMT 9(n)	numeric field of n position(s)
FMT 9(n,d)	numeric field of n position(s) with d decimal(s)

### A.1.1.2 Description of the features

#### A.1.1.2.1 C005: Item number

FORMAT: X(5)

This is a field that has to be filled in when using an XML or CSV file.

The value possibilities for the item number (and their meaning) can be found by downloading the respective forms in Excel or pdf file format ("Export form").

#### A.1.1.2.2 C010: Column value

FORMAT: X(5)

This feature sets out the column in the table.

The only possible value is: C0010

#### A.1.1.2.3 C106: Percentage

FORMAT: 9(15.2)

This feature contains the percentage to report.

##### **In the General Data form**

The items that use this property are:

R0020, R0060, R0130, R0140, R0430, R0550, R0700, R0710, R0720, R0730

##### **In the Risk Level form**

The items that use this property are: R0500, R0520, R0560

#### A.1.1.2.4 C107: Amount in EUR

FORMAT: 9(15.2)

This feature contains the amount to report.

##### **In the General Data form**

The items that use this property are:

R0010, R0040, R0390, R0400



#### **In the Risk Level form**

The items that use this property are: R0600

#### **A.1.1.2.5 C108: Whole numbers**

FORMAT: 9(17)

This feature contains the whole numbers to report.

#### **In the General Data form**

The items that use this property are:

R0250, R0270, R0280, R0320, R0450, R0570, R0580, R0590, R0600, R0610, R0620, R0630, R0650, R0660

#### **In the Risk Level form**

The items that use this property are:

R0010, R0030, R0050, R0070, R0080, R0090, R0110, R0130, R0150, R0210, R0230, R0250, R0270, R0360, R0380, R0410, R0430, R0450, R0470, R0540, R0580, R0620, R0640, R0660, R0690, R0710, R0730, R0750, R0770, R0790, R0820, R0840, R0860, R0880, R0900

Items R0270, R0470, R0660, R0790, R0900 may only have the numbers 1, 2, 3 or 4.

#### **In the Risk Control form**

The items that use this property are:

R0080, R0160, R0240, R0310, R0380, R0530, R0600, R0700, R0760, R0830, R0890, R0960, R1010, R1090, R1160, R1220, R1310, R1400, R1460, R1530, R1600, R1680, R1750, R1840, R1960, R2060, R2130, R2220, R2260, R2340, R2390, R2430, R2510, R2580, R2660

They may only have the numbers 1, 2, 3 or 4.

#### **A.1.1.2.6 C109: Decimal numbers**

FORMAT: 9(15.2)

This feature contains the decimal numbers to report.

#### **In the General Data form**

The items that use this property are:

R0080, R0090, R0110, R0120, R0160, R0170, R0190, R0200, R0220, R0230, R0340, R0350, R0360, R0370, R0640

#### **In the Risk Level form**

The items that use this property are: R0170, R0190, R0400



#### A.1.1.2.7 C201 : Yes-No

FORMAT: 9(1)

The possible values are:

Code	Label FR
0	No
1	Yes

#### In the General Data form

The items that use this property are:

R0300, R0420, R0520, R0540

#### In the Risk Level form

The items that use this property are: R0320, R0340

#### In the Risk Control form

The items that use this property are:

R0010, R0020, R0030, R0040, R0050, R0060, R0070, R0110, R0120, R0130, R0140, R0150, R0190, R0200, R0210, R0220, R0230, R0270, R0280, R0290, R0300, R0340, R0350, R0360, R0370, R0410, R0420, R0430, R0440, R0450, R0460, R0470, R0480, R0490, R0500, R0510, R0520, R0560, R0570, R0580, R0590, R0630, R0640, R0650, R0660, R0670, R0680, R0690, R0730, R0740, R0750, R0790, R0800, R0810, R0820, R0860, R0870, R0880, R0920, R0930, R0940, R0950, R0990, R1000, R1040, R1050, R1060, R1070, R1080, R1120, R1130, R1140, R1150, R1190, R1200, R1210, R1250, R1260, R1270, R1280, R1290, R1300, R1340, R1350, R1360, R1370, R1380, R1390, R1430, R1440, R1450, R1490, R1500, R1510, R1520, R1560, R1570, R1580, R1590, R1630, R1640, R1650, R1660, R1670, R1710, R1720, R1730, R1740, R1780, R1790, R1800, R1810, R1820, R1830, R1870, R1880, R1890, R1900, R1910, R1920, R1930, R1940, R1950, R1990, R2000, R2010, R2020, R2030, R2040, R2050, R2090, R2100, R2110, R2120, R2160, R2170, R2180, R2190, R2200, R2210, R2250, R2290, R2300, R2310, R2320, R2330, R2370, R2380, R2420, R2460, R2470, R2480, R2490, R2500, R2540, R2550, R2560, R2570, R2610, R2620, R2630, R2640, R2650

#### A.1.1.2.8 C203 : Scroll-down menu

FORMAT: X(250)

#### In the Risk Control form

For item R0470, the possible values are:

Code	Label FR
1. ANNUALLY	
2. QUARTERLY	
3. MONTHLY	
4. OTHER-IRREGULAR	



For items R0490 and R0500, the possible values are:

Code	Label FR
0. NEVER	
1. ANNUALLY	
2. QUARTERLY	
3. MONTHLY	

#### In the Risk Level form

For items R0280 and R0300, the possible values are:

Code	Label FR
1. NOT IMPORTANT	
2. IN GROWING IMPORTANCE	
3. ALREADY VERY IMPORTANT	
4. CRITICAL	

For item R0480, the possible values are:

Code	Label FR
1. ENTIRELY OUTSOURCED	
2. LARGELY OUTSOURCED	
3. PARTIALLY OUTSOURCED	
4. NOT OUTSOURCED	

For item R0670, the possible values are:

Code	Label FR
1. LOW	
2. MEDIUM	
3. HIGH	
4. VERY HIGH	

For item R0800, the possible values are:

Code	Label FR
1. NONE	
2. SUPPORT ONLY NON-CRITICAL PROCESSES	
3. SUPPORT CRITICAL PROCESSES	

#### A.1.1.2.9 C205: Free text

FORMAT: X(2000)

This feature contains an explanation about the reporting question.

#### In the General Data form

The items that use this property are:

R0030, R0050, R0070, R0100, R0150, R0180, R0210, R0240, R0290, R0310, R0330, R0380, R0410, R0440, R0460, R0480, R0510, R0530, R0670, R0680, R0690, R0740



**In the Risk Level form**

The items that use this property are:

R0020, R0040, R0060, R0100, R0120, R0140, R0160, R0180, R0200, R0220, R0240, R0260, R0290, R0310, R0330, R0350, R0370, R0390, R0420, R0440, R0460, R0490, R0510, R0530, R0550, R0570, R0590, R0610, R0630, R0650, R0680, R0700, R0720, R0740, R0760, R0780, R0810, R0830, R0850, R0870, R0890

**In the Risk Control form**

The items that use this property are:

R0090, R0100, R0170, R0180, R0250, R0260, R0320, R0330, R0390, R0400, R0540, R0550, R0610, R0620, R0710, R0720, R0770, R0780, R0840, R0850, R0900, R0910, R0970, R0980, R1020, R1030, R1100, R1110, R1170, R1180, R1230, R1240, R1320, R1330, R1410, R1420, R1470, R1480, R1540, R1550, R1610, R1620, R1690, R1700, R1760, R1770, R1850, R1860, R1970, R1980, R2070, R2080, R2140, R2150, R2230, R2240, R2270, R2280, R2350, R2360, R2400, R2410, R2440, R2450, R2520, R2530, R2590, R2600, R2670, R2680

## A.1.2 CSV or XML files

The following section gives an explanation per form/table (“General Data”, “IT Risk Level Self-assessment” and “IT Risk Control Self-assessment”) of what the CSV or XML files should look like if the institution chooses to upload the data requested in this kind of format.

### A.1.2.1 General Data Form

GENERAL\_DATA - General Data

General Data

Financial

Total IT expenses for the reference year<sup>(1)</sup> in EUR

Relative size of IT expenses (% of total expenses in scope)

Please provide further details ( e.g. IT expenses: 45 MEUR, comprising extraordinary expenses of 10 MEUR due to a major damage in data center A of TechABC caused by heavy rains divided by 225 MEUR total expenses )

Total outsourcing expenses in the reference year, of which IT outsourcing expenses for contractors outside and inside the group, in EUR

Please provide further details (in terms of expenses the biggest contractors outside the group for the entities in scope are IBM (15 MEUR) and Microsoft (3 MEUR). The biggest contractors inside the group for the entities in scope are TechA (20 MEUR) and TechB (15 MEUR)

What is the largest IT external service provider (express the answer as follows: value of all the IT service contracts with the IT service provider over total value of all outsourced IT services)<sup>(2)</sup> (as of 31.12 of reference year)

Please name your largest IT service provider and the nature of IT services outsourced to this provider:

C005

C010

C106

C107

C205

C107

C106

C205

### CSV Format

C005	;	Answer
------	---	--------

C005 = Item number

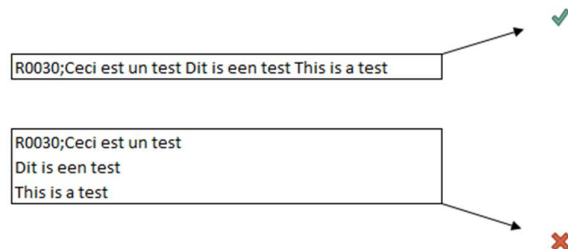
Answer = C106 or C107 or C108 or C109 or C201 or C203 or C205

#### A.1.2.1.1 Example of a CSV file

General Data		
		(C0010)
Financial		
Total IT expenses for the reference year <sup>(1)</sup> in EUR	R0010	12569.12
Relative size of IT expenses (% of total expenses in scope)	R0020	10.25
Please provide further details ( e.g. IT expenses: 45 MEUR, comprising extraordinary expenses of 10 MEUR due to a major damage in data center A of TechABC caused by heavy rains divided by 225 MEUR total expenses )	R0030	Ceci est un test Dit is een test This is a test
...	...	...
Number of Local FTEs	R0080	36.15
...	...	...
What is the total number of critical IT systems for the entities in scope? <sup>(2)</sup> (as of 31.12 of reference year)	R0250	256
...	...	...
Have there been any mergers, acquisitions, carve out or other major organisational changes leading to merging or splitting of IT landscape in the reference year for the entities in scope?	R0300	Yes
...	...	...
How often is IT, including Information Security, part of the agenda of the management board?	R0470	3. MONTHLY
...	...	...
		1. ANNUALLY
		2. QUARTERLY
		3. MONTHLY
		4. OTHER/IRREGULAR



```
...
R0010 ; 12569.12
R0020 ; 10.25
R0030 ; Ceci est un test Dit is een test This is a test
R0080 ; 36.15
R0250 ; 256
R0300 ; 1
R0470 ; 3. MONTHLY
...
```



#### A.1.2.1.2 Example of an XML file

```
...
<Report date="2022" code="ITRQ_CRE_H">
  <Data close="false" form="GENERAL_DATA">
    <Item>
      <Dim prop="C005">R0010</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C107">12569.12</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0020</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C106">10.25</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0030</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C205">Ceci est un test Dit is een test This is a test</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0080</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C109">36.15</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0250</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C108">256</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0300</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C201">1</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0470</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C203">3. MONTHLY</Dim>
    </Item>
  </Data>
</Report>
...
```



## A.1.2.2 Risk Level Form

RISK\_LEVEL - Risk Level

Risk Level

General

Indicators

How many critical audit and on-site inspection findings related to IT risk have not been remediated yet? (as of 31 December of reference year)

Please mention the most critical findings not remediated for longer than 1 year, the root cause for the late remediation and an indication on when the remediation actions will be completed. Please clarify your definition of "critical".

How many critical audit, on-site inspection and internal model investigation findings related to IT risk have not been remediated yet? (as of 31 December of reference year)

Please mention the most critical findings not remediated for longer than 1 year, the root cause for the late remediation and an indication on when the remediation actions will be completed. Please clarify your definition of "critical".

C005

C108

C205

C108

C205

C005

## CSV Format

C005	;	Answer
------	---	--------

C005 = Item number

Answer = C106 or C107 or C108 or C109 or C201 or C203 or C205

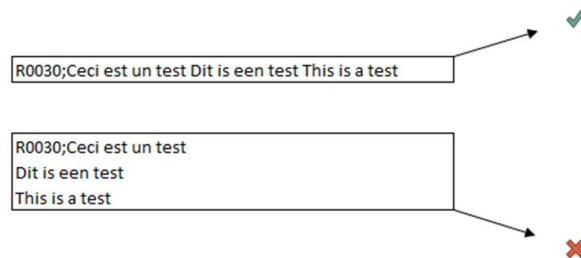
### A.1.2.2.1 Example of a CSV file

Risk Level		
(C0010)		
General		
Indicators		
How many critical audit and on-site inspection findings related to IT risk have not been remediated yet? (as of 31 December of reference year)	R0010	25
Please mention the most critical findings not remediated for longer than 1 year, the root cause for the late remediation and an indication on when the remediation actions will be completed. Please clarify your definition of "critical".	R0020	Ceci est un testDit is een testThis is a test
...	...	...
For the breaches of confidentiality caused by security incident	R0170	123.45
...	...	...
How important are online presence and mobile presence as b	R0280	4. CRITICAL
...	...	1. NOT IMPORTANT
...	...	2. ONLINE IMPORTANCE INCREASING
...	...	3. ALREADY VERY IMPORTANT
...	...	4. CRITICAL
Do the entities in scope provide critical services to other instit	R0320	No
...	...	Yes
...	...	No
...	...	...
What is the largest percentage of value of EXTRA-group outso	R0500	10.53
...	...	...
What was the total amount of losses (e.g. customer compens	R0600	102560.26
...	...	...

```

R0010 ; 25
R0020 ; Ceci est un test Dit is een test This is a test
R0170 ; 123.45
R0280 ; 4. CRITICAL
R0320 ; 0
R0500 ; 10.53
R0600 ; 102560.26

```



#### A.1.2.2.2 Example of an XML file

```

...
<Report date="2022" code="ITRQ_CRE_H">
  <Data close="false" form="RISK_LEVEL">
    <Item>
      <Dim prop="C005">R0500</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C106">10.53</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0010</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C108">25</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0020</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C205">Ceci est un test Dit is een test This is a test</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0170</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C109">123.45</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0280</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C203">4. CRITICAL</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0320</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C201">0</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0600</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C107">102560.26</Dim>
    </Item>
  </Data>
</Report>
...

```



### A.1.2.3 Risk Control Form

RISK\_CONTROL - Risk Control

Risk Control		Item number	Answer
IT governance	IT strategy	C005	
The supervised entity analyses existing and emerging technologies.		R0070	Yes
Maturity level self-assessment		R0080	3
Strengths		R0090	Ceci est un testDit is een testThis is a test

Annotations: C010, C201, C108, C205, C005

#### CSV Format

C005	;	Answer
------	---	--------

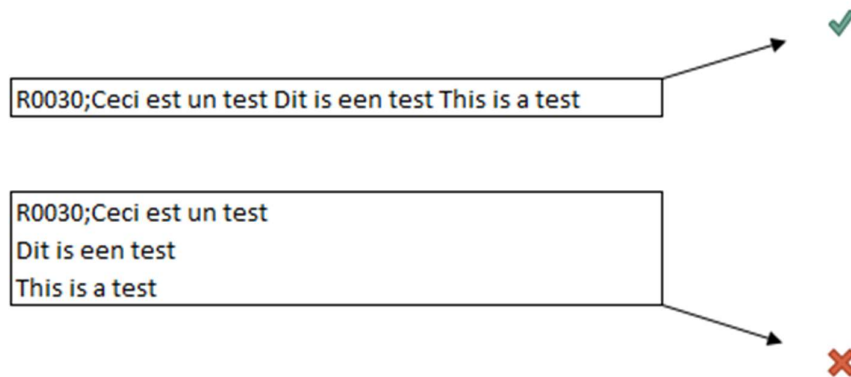
C005 = Item number  
Answer = C108 or C201 or C205

#### A.1.2.3.1 Example of a CSV file

Risk Control

(C0010)	
IT governance	
IT strategy	
The supervised entity analyses existing and emerging technologies.	R0070 Yes
Maturity level self-assessment	R0080 3
Strengths	R0090 Ceci est un testDit is een testThis is a test

```
R0070 ; 1
R0080 ; 3
R0090 ; Ceci est un test Dit is een test This is a test
```



#### A.1.2.3.2 XML example

```
...
<Report date="2022" code="ITRQ_CRE_H">
  <Data close="false" form="RISK_CONTROL">
    <Item>
      <Dim prop="C005">R0070</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C201">1</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0080</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C108">3</Dim>
    </Item>
    <Item>
      <Dim prop="C005">R0090</Dim>
      <Dim prop="C010">C0010</Dim>
      <Dim prop="C205">Ceci est un test Dit is een test This is a test</Dim>
    </Item>...
  </Data>
</Report>
```