

Compliance Matrix – DORA

DORA – Digital Operational Resilience Act: Audit Checklist



auditchecklists.org

Reviewed against: DORA – Original 2022-12-14

Regulation leaves: 258 Article: 236 / 236 Generated: 2026-05-31

Every leaf of the regulation appears below. Each is mapped to the audit-checklist question(s) that cover it, or marked *informational* where no separate audit question applies (definitions, roll-up parents, scope statements). Question references read Q<n> – open the corresponding article/clause of the checklist and locate the question by its number.

Article 1

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.1	– <i>informational only</i> – Subject-matter framing; substantive obligations sit in Ch II onward.

Article 2

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.2(1)	Q1
Article DORA Art.2(3)	Q2

Article 3

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.3	– <i>informational only</i> – Definitions only; surfaces in audit through other articles.

Article 4

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.4(1)	Q1
Article DORA Art.4(2)	Q2

Article 5

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.5(1)	Q1
Article DORA Art.5(2)	Q2
Article DORA Art.5(2)(a)	Q3
Article DORA Art.5(2)(b)	Q4
Article DORA Art.5(2)(c)	Q5
Article DORA Art.5(2)(d)	Q6
Article DORA Art.5(2)(e)	Q7
Article DORA Art.5(2)(f)	Q8
Article DORA Art.5(2)(g)	Q9
Article DORA Art.5(2)(h)	Q10
Article DORA Art.5(2)(i)	Q11
Article DORA Art.5(3)	Q12
Article DORA Art.5(4)	Q13

Article 6

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.6(1)	Q1
Article DORA Art.6(2)	Q2
Article DORA Art.6(3)	Q3
Article DORA Art.6(4)	Q4
Article DORA Art.6(5)	Q5
Article DORA Art.6(6)	Q6
Article DORA Art.6(7)	Q7
Article DORA Art.6(8)	Q8
Article DORA Art.6(8)(a)	Q9
Article DORA Art.6(8)(b)	Q10
Article DORA Art.6(8)(c)	Q11

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.6(8)(d)	Q12
Article DORA Art.6(8)(e)	Q13
Article DORA Art.6(8)(f)	Q14
Article DORA Art.6(8)(g)	Q15
Article DORA Art.6(8)(h)	Q16
Article DORA Art.6(9)	Q17
Article DORA Art.6(10)	Q18

Article 7

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.7(a)	Q1
Article DORA Art.7(b)	Q2
Article DORA Art.7(c)	Q3
Article DORA Art.7(d)	Q4

Article 8

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.8(1)	Q1
Article DORA Art.8(1)	Q2
Article DORA Art.8(2)	Q3
Article DORA Art.8(2)	Q4
Article DORA Art.8(3)	Q5
Article DORA Art.8(4)	Q6
Article DORA Art.8(4)	Q7
Article DORA Art.8(5)	Q8
Article DORA Art.8(6)	Q9
Article DORA Art.8(7)	Q10

Article 9

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.9(1)	Q1
Article DORA Art.9(2)	Q2
Article DORA Art.9(3)(a)	Q3
Article DORA Art.9(3)(b)	Q4
Article DORA Art.9(3)(c)	Q5
Article DORA Art.9(3)(d)	Q6
Article DORA Art.9(4)(a)	Q7
Article DORA Art.9(4)(b)	Q8
Article DORA Art.9(4)(b)	Q9
Article DORA Art.9(4)(c)	Q10
Article DORA Art.9(4)(d)	Q11
Article DORA Art.9(4)(e)	Q12
Article DORA Art.9(4)(e)	Q13
Article DORA Art.9(4)(f)	Q14

Article 10

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.10(1)	Q1
Article DORA Art.10(1)	Q2
Article DORA Art.10(2)	Q3
Article DORA Art.10(3)	Q4
Article DORA Art.10(4)	Q5

Article 11

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.11(1)	Q1
Article DORA Art.11(2)(a)	Q2

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.11(2)(b)	Q3
Article DORA Art.11(2)(c)	Q4
Article DORA Art.11(2)(d)	Q5
Article DORA Art.11(2)(e)	Q6
Article DORA Art.11(3)	Q7
Article DORA Art.11(4)	Q8
Article DORA Art.11(5)	Q9
Article DORA Art.11(6)(a)	Q10
Article DORA Art.11(6)(a)	Q11
Article DORA Art.11(6)(b)	Q12
Article DORA Art.11(6)	Q13
Article DORA Art.11(7)	Q14
Article DORA Art.11(8)	Q15
Article DORA Art.11(9)	Q16
Article DORA Art.11(10)	Q17

Article 12

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.12(1)(a)	Q1
Article DORA Art.12(1)(b)	Q2
Article DORA Art.12(2)	Q3
Article DORA Art.12(2)	Q4
Article DORA Art.12(3)	Q5
Article DORA Art.12(3)	Q6
Article DORA Art.12(3)	Q7
Article DORA Art.12(4)	Q8
Article DORA Art.12(5)	Q9
Article DORA Art.12(6)	Q10

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.12(7)	Q11

Article 13

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.13(1)	Q1
Article DORA Art.13(2)	Q2
Article DORA Art.13(2)	Q3
Article DORA Art.13(2)(a)	Q4
Article DORA Art.13(2)(b)	Q5
Article DORA Art.13(2)(c)	Q6
Article DORA Art.13(2)(d)	Q7
Article DORA Art.13(3)	Q8
Article DORA Art.13(4)	Q9
Article DORA Art.13(5)	Q10
Article DORA Art.13(6)	Q11
Article DORA Art.13(7)	Q12

Article 14

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.14(1)	Q1
Article DORA Art.14(2)	Q2
Article DORA Art.14(3)	Q3

Article 15

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.15	– <i>informational only</i> – ESA RTS-development mandate; the RTS itself becomes a separate Part (dora-rts).

Article 16

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.16(1)	— <i>informational only</i> — Scoping clause — <i>entity-class self-identification; not a standalone auditable obligation. Substantive obligations sit in §16(1)(a)-(g) and §16(2).</i>
Article DORA Art.16(1)(a)	Q1
Article DORA Art.16(1)(b)	Q2
Article DORA Art.16(1)(c)	Q3
Article DORA Art.16(1)(d)	Q4
Article DORA Art.16(1)(e)	Q5
Article DORA Art.16(1)(f)	Q6
Article DORA Art.16(1)(g)	Q7
Article DORA Art.16(1)(h)	Q8
Article DORA Art.16(2)	Q9
Article DORA Art.16(2)	Q10
Article DORA Art.16(2)	Q11

Article 17

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.17(1)	Q1
Article DORA Art.17(2)	Q2
Article DORA Art.17(3)(a)	Q3
Article DORA Art.17(3)(b)	Q4
Article DORA Art.17(3)(c)	Q5
Article DORA Art.17(3)(d)	Q6
Article DORA Art.17(3)(e)	Q7
Article DORA Art.17(3)(f)	Q8

Article 18

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.18(1)(a)	Q1
Article DORA Art.18(1)(b)	Q2
Article DORA Art.18(1)(c)	Q3
Article DORA Art.18(1)(d)	Q4
Article DORA Art.18(1)(e)	Q5
Article DORA Art.18(1)(f)	Q6
Article DORA Art.18(2)	Q7

Article 19

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.19(1)	Q1
Article DORA Art.19(2)	Q2
Article DORA Art.19(3)	Q5
Article DORA Art.19(3)	Q6
Article DORA Art.19(3)	Q7
Article DORA Art.19(4)	Q3
Article DORA Art.19(5)	Q4
Article DORA Art.19(6)	Q8
Article DORA Art.19(7)	Q9

Article 20

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.20	– <i>informational only</i> – ESA RTS/ITS-development mandate; the templates and timelines become operational via dora-rts.

Article 21

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.21	– <i>informational only</i> – ESA feasibility-study mandate; no entity-side audit hook.

Article 22

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.22	– <i>informational only</i> – Competent-authority-side; entity remains responsible regardless of feedback received.

Article 23

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.23	Q1

Article 24

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.24(1)	Q1
Article DORA Art.24(2)	Q2
Article DORA Art.24(3)	Q3
Article DORA Art.24(4)	Q4
Article DORA Art.24(5)	Q5
Article DORA Art.24(6)	Q6

Article 25

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.25(1)	Q1
Article DORA Art.25(2)	Q2
Article DORA Art.25(3)	Q3

Article 26

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.26(1)	Q1
Article DORA Art.26(2)	Q2
Article DORA Art.26(2)	Q3
Article DORA Art.26(3)	Q4
Article DORA Art.26(4)	Q5
Article DORA Art.26(4)	Q6
Article DORA Art.26(4)	Q7
Article DORA Art.26(5)	Q8
Article DORA Art.26(6)	Q10
Article DORA Art.26(7)	Q11
Article DORA Art.26(8)	Q9
Article DORA Art.26(8)	Q12

Article 27

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.27(1)(a)	Q1
Article DORA Art.27(1)(b)	Q2
Article DORA Art.27(1)(c)	Q3
Article DORA Art.27(1)(d)	Q4
Article DORA Art.27(1)(e)	Q5
Article DORA Art.27(2)(a)	Q6
Article DORA Art.27(2)(b)	Q7
Article DORA Art.27(2)(c)	Q8
Article DORA Art.27(3)	Q9

Article 28

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.28(1)(a)	Q1
Article DORA Art.28(1)(b)	Q2
Article DORA Art.28(2)	Q3
Article DORA Art.28(2)	Q4
Article DORA Art.28(2)	Q5
Article DORA Art.28(2)	Q6
Article DORA Art.28(3)	Q7
Article DORA Art.28(3)	Q8
Article DORA Art.28(3)	Q9
Article DORA Art.28(3)	Q10
Article DORA Art.28(3)	Q22
Article DORA Art.28(4)(a)	Q11
Article DORA Art.28(4)(b)	Q15
Article DORA Art.28(4)(c)	Q12
Article DORA Art.28(4)(d)	Q13
Article DORA Art.28(4)(e)	Q16
Article DORA Art.28(5)	Q17
Article DORA Art.28(5)	Q18
Article DORA Art.28(5)	Q14
Article DORA Art.28(6)	Q19
Article DORA Art.28(6)	Q23
Article DORA Art.28(7)	Q24
Article DORA Art.28(7)(a)	Q25
Article DORA Art.28(7)(b)	Q26
Article DORA Art.28(7)(c)	Q27
Article DORA Art.28(7)(d)	Q28
Article DORA Art.28(8)	Q20

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.28(8)	Q21
Article DORA Art.28(8)	Q29

Article 29

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.29(1)	– <i>informational only</i> – Q1 <i>Umbrella for split children (a) and (b); roll-up Q used by some auditors for proportional assessment.</i>
Article DORA Art.29(1)(a)	Q2
Article DORA Art.29(1)(b)	Q3
Article DORA Art.29(1)	Q4
Article DORA Art.29(2)	Q6
Article DORA Art.29(2)	Q7
Article DORA Art.29(2)	Q5
Article DORA Art.29(2)	Q8

Article 30

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.30(1)	Q1
Article DORA Art.30(2)(a)	Q2
Article DORA Art.30(2)(b)	Q3
Article DORA Art.30(2)(c)	Q4
Article DORA Art.30(2)(d)	Q5
Article DORA Art.30(2)(e)	Q6
Article DORA Art.30(2)(f)	Q7
Article DORA Art.30(2)(g)	Q8
Article DORA Art.30(2)(h)	Q9
Article DORA Art.30(2)(i)	Q10
Article DORA Art.30(3)(a)	Q11

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.30(3)(b)	Q12
Article DORA Art.30(3)(c)	Q13
Article DORA Art.30(3)(d)	Q14
Article DORA Art.30(3)(e)	Q15
Article DORA Art.30(3)(f)	Q16
Article DORA Art.30(3)	Q19
Article DORA Art.30(4)	Q17
Article DORA Art.30(5)	Q18

Article 31

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.31	– <i>informational only</i> – ESA/CTPP-side. Entity-side impact: §31(12) third-country provider must establish Union subsidiary within 12 months – captured under entity-side leaf.
Article DORA Art.31(12)	Q1

Article 32

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.32	– <i>informational only</i> – Authority-side structural article.

Article 33

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.33	– <i>informational only</i> – Authority-side.

Article 34

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.34	— <i>informational only</i> — Authority-side.

Article 35

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.35	— <i>informational only</i> — Authority-side.

Article 36

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.36	— <i>informational only</i> — Authority-side.

Article 37

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.37	— <i>informational only</i> — Authority-side — directed to CTPPs.

Article 38

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.38	— <i>informational only</i> — Authority-side.

Article 39

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.39	— <i>informational only</i> — Authority-side.

Article 40

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.40	— <i>informational only</i> — Authority-side.

Article 41

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.41	— <i>informational only</i> — RTS — authority-side mandate.

Article 42

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.42	— <i>informational only</i> — Authority-side.

Article 43

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.43	— <i>informational only</i> — Authority/CTPP-side.

Article 44

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.44	— <i>informational only</i> — Authority-side.

Article 45

REGULATION LEAF	AUDIT-CHECKLIST QUESTION(S)
Article DORA Art.45(1)	Q1
Article DORA Art.45(2)	Q2
Article DORA Art.45(3)	Q3