

EBA/RTS/2014/16

EBA/ITS/2014/07

Annex II

Template on written coordination and cooperation arrangements of the supervisory college established for the <XY> Group/<A> Institution

A. Introduction

- *Make reference to the Level 1 text relevant to the establishment of colleges and the written coordination and cooperation arrangements: Article 51 (significant branches), Article 115 (coordination and cooperation arrangements) and Article 116 (colleges of supervisors) of Directive 2013/36/EU, and RTS and ITS on colleges of supervisors, as well as relevant articles of Directive 2014/59/EU where specific tasks are envisaged for the competent authorities and the supervisory college.*
- *Provide a brief description of the objective of these written coordination and cooperation arrangements, describing the purpose of it, and confirm the need to agree and maintain these written coordination and cooperation arrangements.*

B. <XY>/<A> Group/Institution and identification of members and observers

a. Description and structure of the <XY>/<A> Group/institution

- *Make reference to the results of the mapping exercise and any updates.*
- *NB: The latest version of the completed mapping template can be included as an Annex.*
- *An organogram demonstrating the supervised entities and geographical presence of the bank can be included here also (or as an Annex, as appropriate)*

b. Identification of the competent authorities which are members of the college

- *Make reference to the relevant articles of the RTS and ITS on colleges of supervisors for identifying members of the college and note the results of the invitations address to the authorities referred to in Article 4(1) of the Commission Delegated Regulation .../.. (RTS on supervisory colleges). Make a link to Annex 1 of this template (Contact list)*

c. Identification of the authorities which participate in the college as observers

- *Make reference to the relevant articles of the RTS and ITS on colleges of supervisors for identifying possible observers of the college and note the results of the respective invitations addressed to the authorities referred to in Article 4(2) to (4) of the Commission Delegated Regulation .../.. (RTS on supervisory colleges).*
- *Where third country supervisory authorities have been invited to participate in the college as observers, please include references to the assessment of the confidentiality provisions of these third countries made by all members of the college. When an opinion of EBA on the confidentiality provisions of the third country supervisory authorities has been considered please provide details here.*
- *Provide details of the framework covering the participation of these observers in the college work, activities and meetings, as well as on the information to which they are expected to have access to.*
- *Make a link to Annex 1 of this template (Contact list)*

C. Framework of coordinating interaction with the resolution college

- *Description of the framework agreed between the consolidating supervisor and other college members for providing co-ordinated input to the resolution college, for the tasks foreseen for the competent authorities in the Directive 2014/59/EU.*
- *Description of the role of the consolidating supervisor, as agreed between the consolidating supervisor and the college members, in particular with regard to coordinating the provision of the supervisory college input to the relevant resolution college through the group-level resolution authority.*

D. Framework for exchanging information

NB: The scope of information to be exchanged in going concern situations is expected to cover, as a minimum, the requirements coming from the Level 1 text and relevant articles of the RTS however colleges should also complete this section for any other college specific information agreed to be exchanged.

- *Make reference to the Level 1 text and relevant article of the RTS related to information to be exchanged and describe here any other college-specific information to be exchanged.*
- *In particular, it is expected that the agreement between the consolidating supervisor and other college members on the specific set of indicators to be exchanged in the process of performing the joint risk assessment and reach joint decisions on institution-specific prudential requirements in accordance with Article 113 of Directive 2013/36/EU shall be noted here. As per the RTS provisions, these indicators shall cover at least the areas of capital, liquidity, asset quality, funding, profitability, and concentration risk, and shall be provided for each group entity, the parent and at consolidated level. The college-specific agreement on the frequency of exchanging this information shall be also noted here.*
- *For regular information sharing describe the frequency e.g. quarterly newsletters/telcos and describe the channels to be used (e.g. secure, college specific website).*
- *Describe the role of the consolidating supervisor/competent authorities of home Member State as the central hub for gathering and disseminating essential and relevant information.*
- *Describe the flexible nature of the framework and how it can adapt to the type, and urgency, of the information to be exchanged.*

E. Treatment of confidential information

- *Confirm that any confidential information exchanged between competent authorities is to be used only for lawful supervisory purposes of the <XY>/<A> Group/Institution.*
- *Demonstrate a commitment to safeguard the confidentiality of the information exchanged and a confirmation that persons having access to, or dealing with, confidential information are bound by the obligation of professional secrecy.*

F. Governance arrangements on entrustment of tasks and delegation of responsibilities, where relevant

- *Provide a description of the tasks entrusted and responsibilities delegated and of the authorities involved in these arrangements.*
- *Provide a description of information flows between those involved authorities and the other members of the college on the results of the work and also provide a description of communication procedures between the involved authorities and the EU parent undertaking/institution and any of its subsidiaries/significant branches.*

G. Description of the different college substructures, where relevant

- *When the college is organised in different substructures (e.g. core, general, region-specific), provide a description of these substructures, the criteria used for determining their membership, the members and observers of each substructure, as well as procedures for ensuring appropriate information flows between the different college substructures.*

Going concern situations - Framework for the planning and coordination of supervisory activities in going concern situations

H. Framework for the planning and coordination of supervisory activities in going-concern situations

- *Building on the provisions of relevant Articles of the RTS and ITS on colleges of supervisors, provide a description of college specific arrangements in developing, discussing, agreeing and updating the college supervisory examination programme.*

I. College communication policy with the EU parent undertaking/institution, its subsidiaries and branches

- *Provide a description of the college specific communication policy between the competent authorities and the EU parent undertaking /institution, as well as its entities, building on the provisions of relevant articles of the ITS on colleges of supervisors.*

J. Any other agreement concerning the functioning of the college, between the consolidating supervisor/competent authorities of home Member State and other college members

- *Provide details of the agreed procedures and timeline to be followed for the circulation of meeting documents.*
- *Provide details here of any other college-specific agreements, where relevant.*

Emergency situations - Framework for the planning and coordination of supervisory activities in preparation for and during emergency situations

K. Introduction and identification of contact persons and contact details for emergency situations

- *Make reference to the Level 1 text on the planning and coordination of supervisory activities in preparation for and during emergency situations (Art. 112(1)(c))*

- *Make a link to Annex 2 of this template (Emergency Contact List).*

L. Information to be exchanged and procedures to be followed in an emergency situation

a. Framework on information to be exchanged during an emergency situation

- *The college-specific procedures to be used by the members of the college during emergency situations;*
- *The minimum set of information that has been defined in advance, and it is intended to be shared by the consolidating supervisor/competent authorities of home Member State and other college members in case an emergency situation has been identified;*
- *Provide details for reviewing the ability of the EU parent undertaking/institution to produce the set of the information agreed by the college. Provide a description of planned reviews and frequency of simulation exercises, as appropriate.*

b. Framework for coordination and cooperation procedures for an emergency situation

- *Make reference to the relevant article of the ITS relating to alerts for emergency situations and provide a description of the framework for host competent authorities/consolidating supervisor to alert the consolidating supervisor/host competent authority(ies) when an emergency situation arises at a subsidiary/EU parent institution level. Provisions for alerting supervisors of significant branches and the EBA should be also included.*
- *A description of the coordination with another college or group that may be involved in dealing with an emergency situation affecting the group, if applicable, such as a crisis management group (CMG) or resolution college.*
- *Provide a reference to any agreed channels to be used for exchanging information during an emergency situation e.g. secure means/secure website.*
- *Provide a list of cases (examples of emergency situations) where alerts will be made and notified.*

c. Framework for emergency situation management

- *Provide a description of the emergency situation management framework covering the following points based on the relevant articles of the RTS and ITS:*
 - *The coordinated supervisory assessment, including key components of the common*

assessment of the emergency situation.

- *The coordinated supervisory response including details on the need, scope and conditions for any supervisory actions to be taken by the parent undertaking or the affected entities as well as communication to the college, as necessary and to the EBA.*
- *The monitoring of the coordinated supervisory response, including any measures and arrangements agreed upon.*

d. Framework for External Communication

- *Provide a description of the external communication framework covering:*
 - *Allocation of responsibilities for coordinating public communication at the different stages of the emergency situation;*
 - *the level of information to be disclosed taking into account the possibility of exercising discretion in order to maintain market confidence and any other additional obligation when the banking group affected by the emergency situation is listed in one or more jurisdictions;*
 - *preparation of joint public statements even where only one competent authority has to make such a statement, if the interests of the other may be at stake;*
 - *exceptional circumstances and actions to be taken where a competent authority concerned may issue a separate statement;*
 - *responsibility for contacting the EU parent undertaking/institution and its subsidiaries and branches, as appropriate;*
 - *responsibility and actions to be taken for communicating coordinated actions to address the emergency situation.*

Final provisions for the written coordination and cooperation arrangements

- *Provide details on the commitment of the competent authorities agreeing and signing the written coordination and cooperation arrangements to apply these provisions until there is any communication concerning discontinuation of these arrangements.*

- *Competent authorities' signatures, as applicable, can be included under this section or as an Annex.*
- *Note any updates and revisions to these written coordination and cooperation arrangements to reflect relevant changes agreed by the college members.*
- *Make reference to the language of communication and if applicable, the publication of the written coordination and cooperation arrangements.*

Annex 1 - Contact list

- *Annexes to these written cooperation and coordination arrangements are expected to be the subject of regular updates given their nature.*
- *No formal consultation and approval procedures are necessary for keeping contact lists and emergency contact lists up-to-date, but competent authorities are encouraged to keep their updates flexible and making sure that the latest available version is shared with the members of the college.*

Last update:			
Authority	Name of Contact and Job Title	Phone No.	Email address
<Consolidating supervisor>/<Competent authority of home Member State>	1. Operational Level 2. Senior Mgmt	Landline Mobile Landline Mobile	
<Host competent authority>	1.Operational Level 2.Senior Mgmt	Landline Mobile Landline Mobile	
Third country supervisory authority	

Annex 2 - Emergency contact list

Last Update:				
Authority	Name of Contact and Job Title	Phone No.	Out of Office No.	Email address
<Consolidating supervisor>/<Competent authority of home Member State>	1) Operational Level 2) Senior Mgmt	Landline Mobile Landline Mobile		
<Host competent authority>	1)Operational Level 2)Senior Mgmt	Landline Mobile Landline Mobile		
Third country supervisory authority		
Secure email address for use in emergency situations:				



Website URL for use in Emergency Situations: