

Annex II

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

General provisions

A. Introduction

- *Make reference to the relevant articles of Directive 2013/36/EU relating 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). Make also reference to the Delegated Regulation (EU) 20xx/xx and Implementing Regulation (EU) 20xx/xx and the 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> Group /<A> Institution and identification of members and observers

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

- *Make reference to the results of the mapping exercise and any updates.*
- *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 group or institution can also be included here (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 Delegated Regulation (EU) 20xx/xx and Implementing Regulation (EU) 20xx/xx for identifying members of the college and provide the list of authorities referred to in Article 3(1) of the Delegated Regulation (EU) 20xx/xx, which accepted to become members of the supervisory college. Identify which competent authorities granted approval to financial holding companies or mixed financial holding companies in accordance with Article 21a of Directive 2013/36/EU.*

- *Make a link to Annex A 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 Delegated Regulation (EU) 20xx/xx and Implementing Regulation (EU) 20xx/xx for identifying possible observers of the college and provide the results of the respective invitations addressed to the authorities referred to in paragraphs 2 and 3 of Article 3 of the Delegated Regulation (EU) 20xx/xx.*
- *Where supervisory authorities of third countries have been requested to become observers of the supervisory college, provide references to the assessment of the equivalence of the confidentiality and professional secrecy requirements applicable to the supervisory authorities of these third countries made by all members of the supervisory college. When an opinion of EBA on this assessment has been considered, provide details here.*
- *Make reference where Article 116(1a) of Directive 2013/36/EU applies.*
- *Make reference to the group-level resolution authority of the resolution college and the lead supervisor of the AML/CFT college.*
- *Make reference where Article 21b of Directive 2013/36/EU applies and provide details of the competent authority requested to become of the supervisory college following the establishment of the intermediate EU parent undertaking(s).*
- *Make a link to Annex A of this template (Contact list)*

C. Framework of coordinating interaction with the resolution college

- *Provide details of the framework covering a) the participation of these observers in the supervisory college work, activities and meetings, or meeting agenda items, including also emergency situations, and events of adverse material impact on the risk profile of the group and its entities, where that is relevant for the performance of their tasks, as well as the information to which they are expected to have access, in particular its scope, frequency, as well as secure channels of communication; considering also indicators in Annex C; b) the main considerations based on which the consolidating supervisor decides that information is relevant for the performance of the task of the group-level resolution authority.*
- *Description of the framework agreed between the consolidating supervisor and other college members for providing coordinated input to the resolution college in accordance with Article 5 (m) of the Delegated Regulation 20xx/xx and input regarding the outcome of the supervisory review and evaluation process, the outcome of the assessment of the group recovery plan, including the details of the process (e.g. timing and format of the input; and how the other college members are informed about the submission of the coordinated input).*

- *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.*
- *Description of the framework for channeling into the supervisory college the information received from the resolution college, via the group-level resolution authority, in particular the information referred to in Article 17 (2) (c) of the Delegated Regulation 20xx/xx and including the details of the process (e.g. timing and format of the information; and how the other college members are informed about the receipt of the information).*

D. Framework of coordinating interaction with the AML/CFT college

- *Provide details of the framework covering a) the participation of these observers in the college work, activities and meetings, or meeting agenda items, including also emergency situations, and events of adverse material impact on the risk profile of the group and its entities, where that is relevant for the performance of their tasks, as well as the information to which they are expected to have access, in particular its scope, frequency, as well as secure channels of communication; b) the main considerations based on which the consolidating supervisor decides that information is relevant for the performance of the tasks of the lead supervisor of the AML/CFT college.*
- *Description of the framework for channeling into the supervisory college the information received from the AML/CFT college, via the lead supervisor of the AML/CFT college, in particular on the results of the risk assessment, supervisory plans and proposed supervisory measures.*
- *Description of the framework for providing relevant input to the AML/CFT college.*

E. Framework for interaction with the financial conglomerate college

- *Description of the framework on the cooperation with the college set up for the supplementary supervision of the financial conglomerate, including the information to be exchanged (e.g. main decisions, outcome of meetings).*

F. Framework of coordinating interaction with other public authorities in Member States and supervisory authorities of third countries

- *Provide details of the framework covering a) the participation of these observers in the supervisory college work, activities and meetings, or meeting agenda items, including also emergency situations, and events of adverse material impact on the risk profile of the group and its entities, where that is relevant for the performance of their tasks, as well as on the information to which*

they are expected to have access, in particular its scope, frequency, as well as secure channels of communication; b) the main considerations based on which the consolidating supervisor decides that information is relevant for the performance of the tasks of the other public authorities in Member States and supervisory authorities of third countries.

- *Provide details as per Article 4 of the Commission Implementing Regulation (EU) No 710/2014 on the scope of the involvement of these observers in the group risk assessment process and on their respective contributions, where relevant.*
- *Description of the framework for channelling into the supervisory college the information received from the other competent authorities and competent authorities of third countries in particular on the results of their risk assessments, supervisory plans and proposed supervisory measures, where relevant.*

G. Framework for exchanging information

- *The scope of information to be exchanged in going concern situations is expected to cover, as a minimum, the requirements coming from the Directive 2013/36/EU and Directive 2014/59/EU, and relevant articles of the Delegated Regulation (EU) 20xx/xx. However, colleges should also complete this section for any other college-specific information agreed to be exchanged.*
- *Make reference to the relevant articles of Directive 2013/36/EU, of Directive 2014/59/EU and of the Delegated Regulation (EU) 20xx/xx 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 group risk assessment and reaching joint decisions on institution-specific prudential requirements in accordance with Article 113 of Directive 2013/36/EU shall be provided here. According to the provisions of the Delegated Regulation (EU) 20xx/xx, these indicators shall cover at least the areas of capital, leverage, liquidity, asset quality, funding, profitability, and concentration risk, and shall be provided for each group entity and the parent, and for the group at consolidated level. The college-specific agreement on the frequency of exchanging this information shall be also provided here, including the details of process (e.g. as part of the group risk assessment process or via separate exchanges, etc.). The list of indicators should be annexed to this written coordination and cooperation agreement as provided in Annex C.*
- *For regular information sharing, describe the frequency (e.g. quarterly) and the secure channels of communication to be used (e.g. teleconferences, encrypted emails, college-specific secure website).*
- *Describe the role of the consolidating supervisor or competent authorities of the 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.*

H. Treatment of confidential information

- *Confirm that any confidential information exchanged between members and observers to be used only for lawful supervisory purposes of the <XY> Group / <A> 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.*

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

- *Provide a description of the process in the supervisory college to identify potential joint work and tasks for voluntary entrustment and any possible delegation of responsibilities as part of the development of the examination programme of the supervisory college and of the authorities involved in these arrangements.*
- *Provide a description of information flows between those involved authorities and the other members of the supervisory college on the results of the work and also provide a description of communication procedures between the involved authorities and the EU parent undertaking or institution, and any of its subsidiaries or significant branches.*

J. Description of the different college substructures, where relevant and a description of the arrangement of cooperation between the two supervisory colleges established with respect to Article 21b(2) of Directive 2013/36/EU

- *When the supervisory college is organised in different substructures (e.g. core, general, region-specific college substructures), 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.*
- *When two supervisory colleges are set up in accordance with Article 21b(2) of Directive 2013/36/EU, describe the topics on which information is exchanged between the colleges and the college arrangements that ensure appropriate cooperation in going-concern and in preparation for and during emergency situations.*

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

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

- *Building on the provisions of the relevant articles of the Delegated Regulation (EU) 20xx/xx and Implementing Regulation (EU) 20xx/xx, provide a description of college-specific arrangements for developing, discussing, agreeing to and updating the examination programme of the supervisory college.*

L. College communication policy with the EU parent undertaking or institution, and its subsidiaries or branches

- *Provide a description of the college-specific communication policy between the competent authorities and the EU parent undertaking or institution, as well as its entities, building on the provisions of the relevant articles of the Implementing Regulation (EU) 20xx/xx.*

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

- *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.*

Cooperation in case of an event of adverse material effect on the risk profile of the group or its entities established in a Member State

- *Provide a description of the event and the details of the college-specific process to exchange information between the members of the college in case of an event of adverse material effect on the risk profile, in particular:*
- *a description of the characteristics of such event and a list of possible/potential cases of an event of adverse material effect on the risk profile of the group or its entities, when the below-described procedure apply.*
- *the primary secure channel of communication;*
- *the timing of the set of information, as included in Annex D to be shared in the supervisory college depending on the nature, severity, potential systemic impact and likelihood of contagion of the event of adverse material effect and its foreseen evolution;*

- *any further information to be shared, as agreed by the consolidating supervisor and the members of the supervisory college, in addition to the set of information included in Annex D, where relevant;*
- *a coordinated supervisory response, if that deemed necessary by the consolidating supervisor and the members of the supervisory college.*

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

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

- *Make reference to Article 112(1)(c) of Directive 2013/36/EU on the planning and coordination of supervisory activities in preparation for and during emergency situations.*
- *Make a link to Annex B of this template (Emergency Contact List).*

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

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

- *Describe the college-specific procedures to be used by the members of the college during emergency situations, including the primary secure channel of communication.*
- *Provide the minimum set of information that has been specified in advance, and that is expected to be shared by the consolidating supervisor or competent authorities of the home Member State and the other supervisory college members in case an emergency situation has been identified.*
- *Provide details for reviewing the ability of the EU Parent undertaking or institution to produce the set of information agreed by the supervisory 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 Implementing Regulation (EU) 20xx/xx relating to alerts for emergency situations and provide a description of the framework for the consolidating supervisor and the other supervisory college members to alert each other when an emergency*

situation arises at a subsidiary or EU parent undertaking. Provisions for alerting EBA and competent authorities of host Member States where significant branches are established should be also included.

- *Describe the coordination with the resolution college, via the group-level resolution authority, or other supervisory colleges (e.g. the second supervisory colleges set up in accordance with Article 21b(2) of Directive 2013/36/EU) or groups (e.g. Crisis Management Group) that may be involved in dealing with an emergency situation affecting the group, if applicable.*
- *Provide a reference to the agreed secure channels of communication to be used for exchanging information during an emergency situation (e.g. encrypted emails, college specific 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 Delegated Regulation (EU) 20xx/xx and Implementing Regulation (EU) 20xx/xx:*
- *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 applied to the EU parent undertaking or institution, or the affected group entities or branches, as well as the information to be exchanged within the college, as necessary, with the group-level resolution authority and with 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 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 members of the college 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 or institution and its subsidiaries or branches, as appropriate;*
- *responsibility and actions to be taken for communicating coordinated actions to address the emergency situation.*

Final provisions

- *Provide details on the commitment of the competent authorities agreeing on and signing the written coordination and cooperation arrangements to apply these provisions until any communication concerning discontinuation of these arrangements.*
- *The consent of the members of the supervisory college to the written coordination and cooperation arrangements or any of their amendments shall be formalised in writing, which includes acceptance by email.*
- *Competent authorities' signatures, as applicable, can be inserted in this section or as an Annex. Provide any updates on and revisions of 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 A - Contact list

- *Annexes to these written coordination and cooperation arrangements are expected to be regularly updated, given their nature.*
- *No formal consultation and approval procedures are necessary for keeping contact lists and emergency contact lists up-to-date. Competent authorities are expected to keep the consolidating supervisor updated any changes in the contact list and emergency contact list, who has to make sure that the latest available version is shared with the members of the supervisory college.*

Last update:			
Authority	Name of contact and job title	Phone Number	Email address
Consolidating supervisor / Competent authority of home Member State	1) at operational level 2) in senior management	Landline Mobile Landline Mobile	
Competent authority of host Member State	1) at operational level 2) in senior management	Landline Mobile Landline Mobile	
EBA			
Third country supervisory authority Group-level resolution authority Lead supervisor of the AML/CFT college	
If relevant: Resolution authority AML/CFT authority			

Annex B - Emergency contact list

Last Update:				
Authority	Name of contact and job title	Phone number	Out-of-hours number	Email address
Consolidating supervisor / Competent authority of home Member State	3) at operational level 4) in senior management	Landline Mobile Landline Mobile		
Competent authority of host Member State	3) at operational level 4) in senior management	Landline Mobile Landline Mobile		
EBA				
Third country supervisory authority Group-level resolution authority Lead supervisor of the AML/CFT college		
If relevant: Resolution authority AML/CFT authority				
Secure email address for use in emergency situations:				
Secure website URL for use in emergency situations:				

Annex C – List of indicators

- *Make reference to the agreement between the consolidating supervisor and the members of the supervisory college on the identification of the following indicators for the purpose of [insert the number of] Article of the Delegated Regulation 20xx/xx and [insert the number] of Article Implementing Regulation 20xx/xx on the functioning of supervisory colleges.*

- *Complete the list hereunder with the indicators to be exchanged, taking into account the specificities of the group.*

Areas covered	Agreed list of indicators
Mandatory areas:	
Capital and leverage	
Liquidity	
Asset quality	
Funding	
Profitability	
Concentration risk	
Additional/Optional areas:	

Annex D

Indicative template for information sharing in case of an event of adverse material effect on the risk profile

- *Make reference to the agreement between the consolidating supervisor and the members of the supervisory college on the identification of the information, that should be shared for the purpose of [insert the number of] Article of the Delegated Regulation 20xx/xx and [insert the number of] Article Implementing Regulation 20xx/xx on the functioning of supervisory colleges if an event of adverse material impact on the risk profile of the group and its entities materialise.*

- *On the basis of the indicative template hereunder, identify the set of information to be exchanged, taking into account the specificities of the group and the optional information provided in the template below.*

	Type of information	Description
Information on the event		
1	The event, which has the potential to cause an adverse material effect on the risk profile and which warrants close supervisory monitoring	Nature and description of the event, including its severity. Does the event effect only the group/entity/group entities, or it affects more entities in a Member State/in the EU?
2	Financial market impact of the event	If the event affects more entities in a Member State/in the EU, a brief description of how the event affects the financial markets in these jurisdictions.
3	Systemic impact of the event	Does the event have a potential to develop a systemic impact in a Member State/in the EU?
Information on the impacted institutions		
4	Impacted entity	Name
5	Competent Authority	The supervisor of the impacted entity
6	Type of the institution	<ul style="list-style-type: none"> • Institution, including a parent institution or a subsidiary, a financial holding company or a mixed financial holding company • Branch
7	Importance of the impacted entity	<ul style="list-style-type: none"> • Importance of the entity for the Member State where it is authorised or approved and • importance of the entity for the group
8	Key implications of the event of adverse material effect on the entity	Direct and indirect implications of the event on the entity's: <ul style="list-style-type: none"> • ability to operate in severe business disruption, including availability of outsourced services, • available own funds and liquidity position, including funding concentrations, • asset quality, including any risk concentrations, • profitability and balance sheet, • business model and strategy, • internal governance arrangements with actual or foreseen qualitative and quantitative information.

9	For the purpose of Item 8 (Key implications) the following indicators are used	From the agreed list of indicators included in Annex C, list the ones that are shared if an event materialises (this does not prevent supervisors sharing further indicators)
10	Vulnerabilities of the institution exacerbating the event	Details of vulnerabilities, that may exacerbate the effects of the event (e.g. vulnerabilities of the IT systems, booking models, cross-border presence, legal or regulatory issues)
11	Intra-group contagion	<ul style="list-style-type: none"> • Material intragroup exposures towards the entity impacted by the event • Potential material effect on group entities • Other relevant intra-group arrangements with actual or foreseen qualitative and quantitative information.
12	External contagion	<ul style="list-style-type: none"> • Counterparties with material exposures to the entity impacted by the event • Other relevant arrangements with a potential to cause contagion with actual or foreseen qualitative and quantitative information.
Actions, measures and communication		
13	Measures and actions taken by the group	Measures and actions taken by the entity and its impact on <ul style="list-style-type: none"> • its ability to operate in severe business disruption, including availability of outsourced services, • the available own funds and liquidity position, on funding concentrations, • its asset quality, including any risk concentrations, • its profitability and balance sheet, • its business model and strategy, • its internal governance arrangements with actual or foreseen qualitative and quantitative information.
14	Measures and actions planned to be taken by the group	Measures and actions that are planned to be taken by the institution/group, and its expected impact on <ul style="list-style-type: none"> • its ability to operate in severe business disruption, including availability of outsourced services, • the available own funds and liquidity position, on funding concentrations, • its asset quality, including any risk concentrations, • its profitability and balance sheet, • its business model and strategy, • its internal governance arrangements. with actual or foreseen qualitative and quantitative information.
15	Actions taken by the Competent Authority	Description of the actions, their purpose and effect(s).
16	Actions planned to be taken by the Competent Authority	Description of the actions, their purpose and foreseen effect(s).
17	External Communication of the group	Press releases and other external communications of the group.
18	Planned external communication of the Competent Authority	Press releases and other external communications planned by the Competent Authority.