EN

ANNEX II

**Template on written coordination and cooperation arrangements of the supervisory college established for the**

**<XY> Group/<A> Institution**

**General provisions**

1. 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) No …/… (RTS on supervisory colleges) and Implementing Regulation (EU) No …/… (ITS on supervisory colleges) 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.*

1. <XY> Group /<A> Institution and identification of members and observers
   1. 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)*
  1. Identification of the competent authorities which are members of the college
* *Make reference to the relevant articles of the Delegated Regulation (EU) No …/… (RTS on supervisory colleges) and Implementing Regulation (EU) No …/… (ITS on supervisory colleges) for identifying members of the college and provide the results of the invitations addressed to the authorities referred to in Article 3(1) of the Delegated Regulation (EU) No …/… (RTS on supervisory colleges).*
* *Make a link to Annex A of this template (Contact list)*
  1. Identification of the authorities which participate in the college as observers
* *Make reference to the relevant articles of the Delegated Regulation (EU) No …/… (RTS on supervisory colleges) and Implementing Regulation (EU) No …/… (ITS on supervisory colleges) for identifying possible observers of the college and provide the results of the respective invitations addressed to the authorities referred to in paragraphs 2 to 4 of Article 3 of the Delegated Regulation (EU) No …/… (RTS on supervisory colleges).*
* *Where supervisory authorities of third countries have been invited to participate in the college as observers, 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 college. When an opinion of EBA on this assessment has been considered, 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.*
* *Make a link to Annex A of this template (Contact list)*

1. Framework of coordinating interaction with the resolution college

* *Description of the framework agreed between the consolidating supervisor and other college members for providing coordinated input to the resolution college and for the tasks to be performed by the competent authorities in accordance with 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.*

1. 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) No …/… (RTS on supervisory colleges). 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) No …/… (RTS on supervisory colleges) 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 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) No …/… (RTS on supervisory colleges), 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 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.*
* *For regular information sharing, describe the frequency (e.g. quarterly) and the channels of communication to be used (e.g. newsletters, teleconferences, secure, college-specific 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.*

1. 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> 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.*

1. 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 or institution, and any of its subsidiaries or significant branches.*

1. Description of the different college substructures, *where relevant*

* *When the 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.*

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

1. 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) No …/… (RTS on supervisory colleges) and Implementing Regulation (EU) No …/… (ITS on supervisory colleges), provide a description of college-specific arrangements for developing, discussing, agreeing to and updating the college supervisory examination programme.*

1. 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) No …/… (ITS on supervisory colleges).*

1. 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.*

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

1. 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).*

1. Information to be exchanged and procedures to be followed in an emergency situation
2. Framework on information to be exchanged during an emergency situation

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| * *Describe the college-specific procedures to be used by the members of the college during emergency situations.* * *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 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 college. Provide a description of planned reviews and frequency of simulation exercises, as appropriate.* |

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

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| * *Make reference to the relevant article of the Implementing Regulation (EU) No …/… (ITS on supervisory colleges) relating to alerts for emergency situations and provide a description of the framework for the consolidating supervisor and the other 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 other college or group (e.g. Crisis Management Group or Resolution College) that may be involved in dealing with an emergency situation affecting the group, if applicable.* * *Provide a reference to any agreed channels of communication 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.* |

1. Framework for emergency situation management

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| * *Provide a description of the emergency situation management framework covering the following points based on the relevant articles of the Delegated Regulation (EU) No …/… (RTS on supervisory colleges) and Implementing Regulation (EU) No …/… (ITS on supervisory colleges):*   + *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, and with the EBA;*   + *the monitoring of the coordinated supervisory response, including any measures and arrangements agreed upon.* |

1. Framework for External Communication

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| * *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.*
* *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, but competent authorities are encouraged to keep their updates flexible and make sure that the latest available version is shared with the members of the college.*

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| --- | --- | --- | --- |
| **Last update:** |  | | |
| **Authority** | **Name of contact and job title** | **Phone Number** | **Email address** |
| Consolidating supervisor / Competent authority of home Member State | 1. at operational L-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 |  |
| Third country supervisory authority | .... | … |  |

**Annex B - Emergency contact list**

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| --- | --- | --- | --- | --- |
| **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 | 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 |  |  |
| Third country supervisory authority | .... | .... |  |  |
| Secure email address for use in emergency situations: | | | | |
| Website URL for use in emergency situations: | | | | |