

# Guidelines compliance table

EBA/GL/2017/05 Appendix 1

11 May 2017; Date of application – 01 January 2018 (Updated – 19 February 2018)

## Guidelines on ICT Risk Assessment under the Supervisory Review and Evaluation process (SREP)

The following competent authorities\* comply or intend to comply with the EBA's Guidelines on ICT Risk Assessment under SREP:

Member State	Competent authority	Complies or intends to comply	Comments
BE	National Bank of Belgium	<b>Intends to comply**</b>	Starting from the SREP process in 2018. For a concrete implementation of the GLs we will await further instructions from the ECB-SSM who will implement the GLs in the 2018 SREP methodology for Significant Institutions and assumingly also for Less Significant Institutions (methodology still under construction). If the latter would not be the case, we commit to developing a national SREP approach to cover for the ICT risk assessment of LSIs.
BG	Българска народна банка (Bulgarian National Bank)	<b>Intends to comply**</b>	By 31.12.2018. Relevant regulatory proceedings have been planned for 2018, and the SREP manual will be supplemented with the requirements of the GL as well. The credit institutions will be committed respectively to comply with them by the end of 2018.

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
CZ	Czech Republic	Czech National Bank	<b>Yes</b>	As at 03.11.2017, notification date.
DK	Denmark	Finanstilsynet (FSA-DK)	<b>Intends to comply**</b>	By 01.01.2018.
DE	Germany	Bundesanstalt für Finanzdienstleistungsaufsicht (BaFin)	<b>Intends to comply**</b>	Within the first half of the year 2018.
EE	Estonia	Finantsinspektsioon	<b>Yes</b>	As at 01.11.2017 notification date
IE	Ireland	Central Bank of Ireland	<b>Intends to comply**</b>	By 01.01.2018.
EL	Greece	Bank of Greece	<b>Intends to comply**</b>	By 01.01.2018.
HR	Croatia	Hrvatska narodna banka (Croatian National Bank)	<b>Intends to comply**</b>	By 01.01.2018.
ES	Spain	Banco de España	<b>Intends to comply**</b>	By 01.01.2018.
FR	France	ACPR – Banque de France	<b>Intends to comply**</b>	By the application date of the GLs. The methodology of the ACPR will be very comparable with the methodology chosen by SSM for the supervision of the Significant Institutions.
IT	Italy	Banca d'Italia	<b>Intends to comply**</b>	By 30.06.2018.
CY	Cyprus	Central Bank of Cyprus	<b>Intends to comply**</b>	By 01.01.2018.
LV	Latvia	Financial and Capital Market Commission	<b>Intends to comply**</b>	By 30.09.2018.
LT	Lithuania	Bank of Lithuania	<b>Intends to comply**</b>	By 01.01.2018.
LU	Luxembourg	Commission de Surveillance du Secteur Financier (CSSF)	<b>Intends to comply**</b>	By 01.01.2018.
HU	Hungary	The Central Bank of Hungary	<b>Intends to comply**</b>	By 01.01.2018.

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
MT	Malta	Malta Financial Services Authority	<b>Intends to comply**</b>	The MFSA will be compliant in 2018 and will adopt a proportional approach for LSI's once the relative ECB Operational Guidelines comes into effect.
NL	Netherlands	De Nederlandsche Bank	<b>Yes</b>	As at 10.11.2017, notification date.
AT	Austria	Austrian Financial Market Authority	<b>Yes</b>	As at 07.11.2017, notification date
PL	Poland	Komisja Nadzoru Finansowego	<b>Intends to comply**</b>	By 30.03.2018.
PT	Portugal	Banco de Portugal	<b>Intends to comply**</b>	By 01.01.2018.
RO	Romania	National Bank of Romania	<b>Yes</b>	As at 10.11.2017, notification date.
SI	Slovenia	Bank of Slovenia	<b>Intends to comply**</b>	By 01.01.2018.
SK	Slovakia	Národná Banka Slovenska	<b>No</b>	Does not comply and does not intend to comply: The competent authority does not comply and does not intend to comply with the Guidelines and recommendations for the following reasons: Current practices of the National Bank of Slovakia as competent authority with respect to the content of the draft guidelines are partially and mostly implemented. Despite of this fact, organizational arrangements, personnel resources and expertise level do not facilitate to fully comply with the Guidelines. National Bank of Slovakia will continue with gradual implementation of relevant components of Guidelines focusing on items of risk taxonomy with potential high severity impact which the supervised institutions are or may be exposed to.
FI	Finland	Finanssivalvonta (FIN-FSA)	<b>Yes</b>	As at 15.02.2018, notification date.

		<b>Competent authority</b>	<b>Complies or intends to comply</b>	<b>Comments</b>
SE	Sweden	Finansinspektionen	<b>Intends to comply**</b>	By 01.01.2018.
UK	United Kingdom	Bank of England		Email dated 08.12.2017: currently giving policy consideration to this matter, with a view to being able to provide the EBA with a definitive response, probably by mid-January.
		Financial Conduct Authority	<b>Intends to comply**</b>	By 01.01.2018.

**EU Institutions – Agencies**

ECB	ECB	ECB	<b>Intends to comply**</b>	By 01.01.2018.
-----	-----	-----	----------------------------	----------------

**EEA – EFTA State**

IS	Iceland	Financial Supervisory Authority, Iceland	<b>Yes</b>	As at 10.11.2017, notification date
LI	Liechtenstein	Financial Market Authority Liechtenstein (FMA)	<b>Yes</b>	As at 10.11.2017, notification date
NO	Norway	The Financial Supervisory Authority of Norway	<b>Intends to comply**</b>	By 31.12.2018. The Financial Supervisory Authority of Norway intend to comply with the guideline during SREP reporting 2018 regarding ICT risk as part of operational risks. The guideline has already been used for SREP reporting 2017 regarding ICT risks as part of operational risks.

**European Territories under Article 355(3) TFEU**

UK	United Kingdom	Gibraltar Financial Services Commission	<b>Intends to comply**</b>	By 01.01.2018.
----	----------------	---	----------------------------	----------------

\*The EEA States other than the Member States of the European Union are not currently required to notify their compliance with the EBA's Guidelines. This table is based on information provided from those EEA States on a voluntary basis.

\*\* Please note that, in the interest of transparency, if a competent authority continues to intend to comply after the application date, it will be considered "non-compliant" unless (A) the Guidelines relate to a type of institution or instruments which do not currently exist in the jurisdiction concerned; or (B) legislative or regulatory proceedings have been initiated to bring

any national measures necessary to comply with the Guidelines in force in the jurisdiction concerned.

### **Notes**

Article 16(3) of the EBA's Regulations requires national competent authorities to inform us whether they comply or intend to comply with each Guideline or recommendation we issue. If a competent authority does not comply or does not intend to comply it must inform us of the reasons. We decide on a case by case basis whether to publish reasons.

The EBA endeavour to ensure the accuracy of this document, however, the information is provided by the competent authorities and, as such, the EBA cannot accept responsibility for its contents or any reliance placed on it.

For further information on the current position of any competent authority, please contact that competent authority. Contact details can be obtained from the EBA's website [www.eba.europa.eu](http://www.eba.europa.eu).