

CP/2014/12 Annex II

3 July 2014

Template on written cooperation and coordination arrangements <XY Group> College

A. Introduction

- *Make reference to the Level 1 text relevant to the establishment of colleges and this written cooperation and coordination arrangement: Article 51 (significant branches), Article 115 (coordination and cooperation arrangements) and Article 116 (colleges of supervisors) of the CRD, and RTS and ITS on colleges of supervisors.*
- *Provide a brief description of the objective of this written arrangement, describing the purpose of it, and confirm the need to agree and maintain these written cooperation and coordination arrangements.*

B. <XY Group> and identification of competent authorities

a. Description and structure of the < XY Group >

- *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 for joining the college of EEA host competent authorities.*
- *Where third country competent authorities have been invited and are members of the college, include references to the assessment of the confidentiality provisions of these third countries by all members of the college.*
- *Make a link to Annex 1 of this template (Contact List)*

C. 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.*
- *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 as the central hub for gathering and disseminating information.*
- *Describe the flexible nature of the framework and how it can adapt to the type, and urgency, of the information to be exchanged.*

D. 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>.*
- *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.*

E. 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 <XY Group> and any of its subsidiaries.*

F. Description of the different college settings, where relevant

- *When the college is organised in different settings (e.g. core, general, region-specific), provide a description here of these settings, the criteria used for determining their membership, the*

members of each setting, as well as procedures for ensuring appropriate information flows between the different college settings.

Going concern situations

G. Framework for the planning and coordination of supervisory activities

- *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 joint supervisory examination programme of the college.*

H. College communication policy with the parent entity, its subsidiaries and branches

- *Provide a description of the college specific communication policy between the competent authorities and the <XY Group> and its entities, building on the provisions of relevant articles of the ITS on colleges of supervisors.*

I. Any other agreement concerning the functioning of the college, between the consolidating supervisor and the host EEA competent authorities

- *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.*

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

J. Introduction

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

K. Identification of contact persons and contact details for emergency situations

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

L. Procedures to be followed in an emergency situation

a. 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 authorities/consolidating supervisor to alert the consolidating authority/host authority(ies) when an emergency situation arises at a subsidiary/parent or group. Provisions for alerting supervisors of branches and the EBA should be included.*
- *Provide a reference to Section M of this agreement for describing the channels for such communication e.g. secure means*
- *Provide a list of cases (emergency situations) where alerts will be made and notified.*

b. 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 minimum set of information to be shared by the consolidating supervisor and reference that in some cases such information or additional information would be shared outside the college;*
 - *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 banking group or its involved 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.*
 - *Make a reference to updating the college members and the EBA, making reference to Article 18 of the EBA Regulation;*

M. Communication tools

a. Framework for Internal Communication

- *Provide a description on the scope for the exchange of information between the college members including the EBA during the coordinated supervisory assessment and the coordinated supervisory response of the emergency situation.*
- *Provide a description of the appropriate tools in place for communication to ensure a rapid and coordinated supervisory response e.g. secure web platform, secure email addresses.*

b. Framework for External Communication

- *Provide a description of the external communication framework covering:*
 - *responsibility 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 Group and the subsidiaries and branches as appropriate;*
 - *responsibility and actions to be taken for communicating coordinated actions to address the emergency situation;*
 - *a description of the coordination with another network that may be involved in dealing with an emergency situation affecting the group, if applicable, such as a crisis management group (CMG).*
 - *responsibility for involving relevant resolution authorities, central banks, competent ministries and deposit guarantee schemes, where appropriate.*
- *Provide a description of the agreed and defined set of information that will be exchanged in emergency situations and identify the responsibility for circulating such information in an emergency situation.*

N. Any other agreement concerning the functioning of the college, between the consolidating supervisor and the host EEA competent authorities

- *Provide details here of any other college specific agreements*
- *Provide a description of planned reviews and frequency e.g. at least annual simulation exercises, as appropriate. Also provide details for reviewing the ability of the group to produce the set of the information agreed by the college.*

Final provisions for the written cooperation and coordination arrangement

- *Provide details on the commitment of the competent authorities agreeing and signing the written cooperation and coordination arrangements to apply these provisions until there is any communication concerning discontinuation of these arrangements.*
- *Competent authorities' signatures 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 authority>	1. Operational Level 2. Senior Mgmt	Landline Mobile Landline Mobile	
<Host Authority>	1.Operational Level 2.Senior Mgmt	Landline Mobile Landline Mobile	
<Host Authority>	

Annex 2 - Emergency contact list

Last Update:				
Authority	Name of Contact and Job Title	Phone No.	Out of Office No.	Email address
<Consolidating authority>	1) Operational Level 2) Senior Mgmt	Landline Mobile Landline Mobile		
<Host Authority>	1)Operational Level 2)Senior Mgmt	Landline Mobile Landline Mobile		
<Host Authority>		
Secure email address for use in emergency situations:				
Website URL for use in Emergency Situations:				