



Banc Ceannais na hÉireann
Central Bank of Ireland

Eurosystem

Fitness and Probity

In-Situ Submission Guidance

January 2024

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1. Purpose of this Guidance

This document provides guidance for regulated financial service providers (RFSPs) and holding companies in relation to submitting PCF In-situ information through the Central Bank of Ireland's Portal.

Section 22 of the Central Bank Reform Act 2010 enables the Central Bank of Ireland (the Central Bank) to prescribe by regulation pre-approval controlled functions (PCFs). The Central Bank may make amendments to the PCF list on the basis of its supervisory experience.

The PCF application form (Individual Questionnaire – IQ) will be amended to allow new applicants apply for any new PCF roles via the Central Bank's Portal.

For those persons already performing the new roles at the time of implementation, an In-Situ process will be available, so that those persons do not have to submit an IQ.

This guidance document sets out how a RFSP, Credit union or Holding company can notify the Central Bank of the individuals who were deemed to be in-situ.

In-situ submissions must be made via the Central Bank of Ireland's portal.

Firms must ensure that they have access to the portal to complete the submission. If you are using the Portal for the first time, the individual who intends to be the Portal Administrator must register as a user on the Central Bank Portal. Once completed they can contact onlinereturns@centralbank.ie to request to be linked to the relevant firm as the Portal Administrator.

2. User permissions

In-situ submissions can be made on behalf of the firm by users with F&P Administrator permission.

The Portal Administrator can grant the relevant permissions. Reach out to the Portal Administrator in the firm – see: [How do I request a change to my permissions?](#)

Once a user is granted the F&P Administrator permission they will see the Fitness and probity Menu appear on the portal:

- F&P applications
- In-situ submissions
- Annual PCF confirmation

The submissions will be made on the In-situ submissions page of the menu.

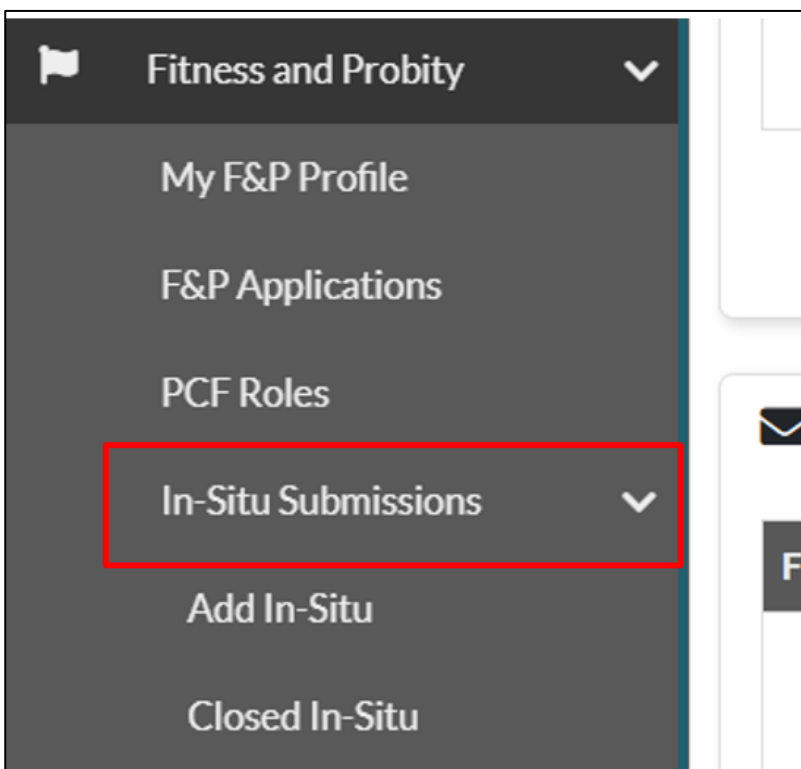


Figure 2.1 – Fitness and Probity menu

3. In-situ submissions

Access to the in-situ menu item allows the user to carry out a function in relation to the in-situ process on behalf of the firm.

The user will be able to:

- Complete In-situ submission
- View previous Central Bank Portal in-situ submissions¹

Before you start the In-situ submission

In order to be eligible to be selected for an in-situ role the proposed function holder must be registered on the portal and linked to the relevant firm. The users must complete their F&P Profile before they can be selected in the in-situ submission

For details on registering for the portal please refer to guidance [here](#). For details on completing the F&P profile please refer to the [‘Fitness and Probity Individual Questionnaire, Application and PCF Roles Guidance](#)

Proposed function holder must be registered on the portal and have a completed F&P profile

The following documents which are available on our [website](#), should be reviewed prior to making a submission:

- Fitness and Probity (F&P) standards
- Guidance on Fitness and Probity standards

¹ Only In Situ submissions made via the Central Bank Portal are available here, any previous in situ submissions made via ONR are not accessible. PCF records have been updated to reflect any previously submitted in situ roles. Should PCF records be incorrect for your Firm please contact fitnessandprobity@centralbank.ie with details.

How to complete In-situ submission

The user should navigate to the 'Add In-situ' page of the in-situ menu. The user must select the PCF role for which they are making the submission. The user can then select the individual from a list of users linked to the firm. For a RFSP the user must confirm on behalf of the Chair (PCF-3) or Chief Executive (PCF-8) of the firm that the firm that;

- due diligence has been performed, and
- the information contained in the submission is accurate on behalf of the RFSP.

Due diligence;

- has performed the necessary due diligence as detailed in the Guidance on Fitness and Probity in respect of persons set out in this submission;
- is satisfied on reasonable grounds that these persons are compliant with the Fitness and Probity Standards; and
- has obtained each person's written agreement to abide by the Fitness and Probity Standards.

- **For a Holding company the user confirms the above on behalf of the Chair (HCPCF-1) or Director (HCPCF-2.)**
- **For Credit Unions the user confirms the above on behalf of the Chair (CUPCF-1) or Manager (CUPCF-2.)**

Once this is completed the user may click 'submit' to complete the submission to the Central Bank. This process must be repeated for each individual holding an in-situ role with the firm.

The in-situ will remain available for a fixed period please refer to relevant communications for the relevant dates. If you have missed the date for submission please contact the bank.

In-Situ Submission

Welcome to the In-situ submissions section of the portal. You have been granted access to this section because you will complete the in-situ process on behalf of your Institution.

You will be using this section to submit details of the relevant individuals who should be noted as in-situ PCF holders for your institution:

- Current in-situs are any current in-situ process that are available and/or relevant for your institution

To view previous In-situs, please select the closed In-situ screen from the navigation bar on the left.

Select PCF Role * Please select

Select Person * Please select

Start Date

I confirm, on behalf of the Chair (PCF-3) or Chief Executive (PCF-8) that the RFSP;

- has performed the necessary due diligence as detailed in the Guidance on Fitness and Probity in respect of persons set out in this submission
- is satisfied on reasonable grounds that these persons are compliant with the Fitness and Probity Standards
- has obtained each person's written agreement to abide by the Fitness and Probity Standards

Confirm due diligence has been carried out by the firm * ☐

Confirm that the information they are submitting as part of this application is correct * ☐

Submit

Figure 2.2 – In-situ submission form

PCF roles

Once the in-situ submission has been completed the role should be reflected under the current roles tab of the PCF roles page on the portal. To view the information the user should navigate to the PCF roles page in the Fitness and probity menu.

Home • PCF Roles

PCF Roles

These are your PCF Roles the Institution selected above.

If you have PCF Roles in other institutions simply select that Institution from the drop down menu above.

Current roles are PCF Roles that have been approved and are awaiting on effective start date or are approved with a start date.

Previous roles are PCF Roles that are approved not elected (for credit unions only), role not taken up, or resigned.

Using the action menu you can:

- Enter Start Date
- Mark Role Approved Not Elected (only show for credit union roles)
- Mark Role Not Taken Up
- Mark Role As Resigned

There are no actions for closed PCF Roles.

Current Roles Previous Roles

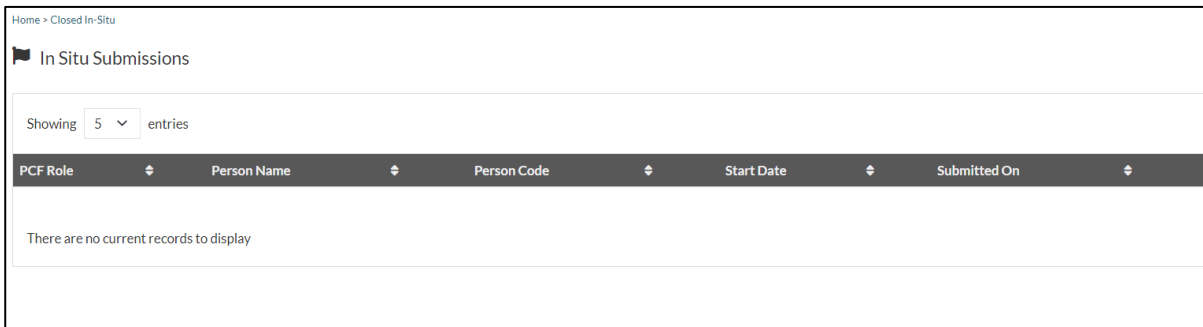
Showing 5 entries Filter

Applicant Name	PCF Role	Status	Start Date	End Date
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Figure 2.3 – PCF roles page

How to view previous In-situ submissions

To view previous In-situ submissions completed on the portal, the user should navigate to the 'Closed In-situ' page of the in-situ menu.



Home > Closed In-Situ

 In Situ Submissions

Showing entries

PCF Role	Person Name	Person Code	Start Date	Submitted On
There are no current records to display				

Figure 2.4 – Completed In-situ submissions

If in-situ is not available for your Institution

If an in-situ is not currently available for your institution the following message will display:

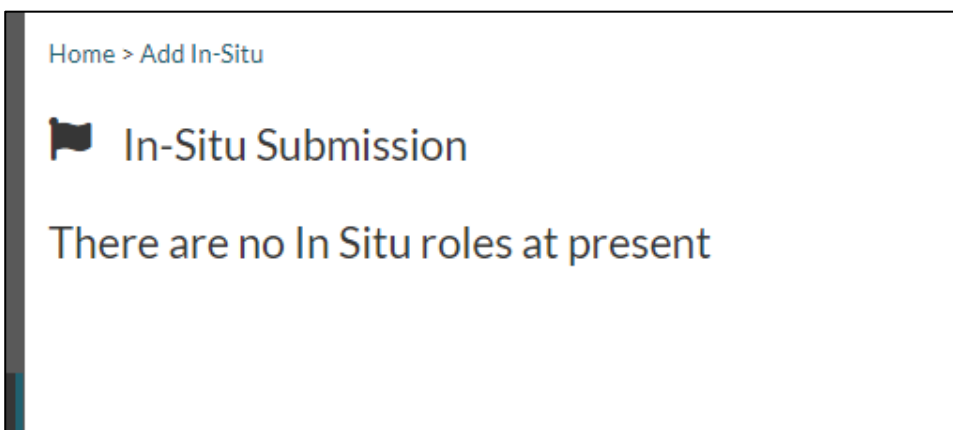


Figure 2.4 – No In-situ message

If you are expecting an in-situ

If you are expecting to make an in-situ for your institution but the form is not displaying please contact

fitnessandprobity@centralbank.ie



T: +353 (0)1 224 5800
E: publications@centralbank.ie
www.centralbank.ie



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