



Banc Ceannais na hÉireann
Central Bank of Ireland

Eurosystem

Guidance Note Outsourcing Register Template

Payments & E-Money Institutions

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1. Background and Scope

As set out in the [Cross-Industry Guidance on Outsourcing¹](#) published in December 2021, the Central Bank of Ireland (the “Central Bank”) expects that each regulated firm will establish and maintain an outsourcing register. The Central Bank has developed a template for recording all relevant outsourcing arrangements and for reporting purposes. Based on the information contained within the registers, the Central Bank will conduct analysis and assess the interconnectedness of the financial sector with third party service providers and potential concentration risk at an institution and sectoral level.

All regulated financial service providers (“RFSPs”) whose PRISM Impact Rating is Medium Low or above (or its equivalent) will be required to submit their completed reporting template to the Central Bank via the Online Reporting System (ONR).

The reporting frequency, the timeline for submission and the submission process relating to the reporting template are outlined in Sections 2 and 3.

2. Timeline for Submitting Online Returns

The first reference date for the submission of data for the outsourcing arrangements of all designated RFSPs is 31 December 2021. RFSPs should submit their register with data complete as of 31 December 2021 and only include contracts / written agreements with a start date before that date.

RFSPs are requested to submit the completed register via the ONR by close of business on 07 October 2022.

The submission deadline from 2023 onwards will be end-February of each year, with the reference date of 31 December of the previous year. The submission deadline for 2023 will be confirmed in due course.

¹ Underpinned by the EBA Guidelines on Outsourcing EBA GL/02 2019

3. Mechanism for Submission of Returns

The Outsourcing Register must be populated using the provided excel template. Less Significant Institutions (LSIs Banks), Insurance and Re-insurance RFSPs, Payments and E-Money RFSPs and Markets RFSPs must complete the template relevant for their sector. The templates can be accessed on the Central Bank website by clicking [here](#).

The completed Outsourcing Register return file should be uploaded in ONR at:

<https://onlinereporting.cbfsai.ie>

The submission file must conform to the guidance issued in this document. Files not conforming will be rejected by ONR.

The ONR system will run basic validations against the file as part of the submission process. RFSPs will be unable to complete the file submission until any issues in the file have been rectified.

To ensure successful submission, please populate the provided template and adhere to the following instructions:

1. Log on to ONR and from the "Payments Institution Section" business area select "PMI-EMI Outsourcing Register" to load the file.
2. If you cannot see the Return Type please check with your local ONR admin that you have the necessary access permissions;
3. The submission file must be populated from the provided template;
4. Do not attempt to alter the template structure in any way;
5. Only populate cells that are required within the template;
6. The template must be named with the following convention: CXXXXXX_YYYYMMDD_ABC as follows:
 - >> CXXXXXX is the institution number
 - >> YYYYMMDD is the Reference Date and
 - >> ABC is the designated return type code, this is POR for the PMI-EMI Outsourcing Register
 - >> e.g. C12345_20211231_POR

4. Where do I go if I need further information?

Section 7 (Instructions / Guidance Notes for completing the Register) is designed to aid RFSPs when completing each section / worksheet of the register.

Any further queries in relation to the completion and or submission of the register should be directed to outsourcing.register@centralbank.ie Please keep your Supervisory Contact/Team in copy of any correspondence.

5. Where do I go if I have technical issues with ONR?

Online reporting queries or issues can be submitted through the 'submit a request' function on ONR.

Alternatively, you can contact:

E-mail: onlinereturns@centralbank.ie

Phone: +353 (0)1 224 4545

6. Overview of the Register and Information to be provided by RFSPs

Designated RFSPs shall submit one Outsourcing Register Template via the parent regulated institution or the (mixed) financial holding company.

The reporting template shall include all outsourcing arrangements that Group entities supervised by the Central Bank make use of, irrespective of whether the entities signed contractual arrangements themselves or if they were signed on their behalf, e.g. by a non-supervised entity outside of the Central Bank's jurisdiction. All intragroup arrangements where the Central Bank is the supervisory authority should be reported. These may include any or all of the following:

- Outsourcing arrangements between two separate legal entities, such as subsidiaries, in the same group.

- In the case of intragroup service provisions / outsourcing arrangements such as Parent/Subsidiary, Subsidiary/Parent, Subsidiary/Subsidiary, these should all be included in the register.
- The same requirement applies to Branches, if the separate legal entity (Parent, Subsidiary, Branch) availing of the outsourcing arrangement is under the Central Bank's supervision.

7. Instructions / Guidance Notes for Completing the Register

The guidance notes are designed to aid RFSPs to complete each section / worksheet of the Register in conjunction with the instructions provided in the register template. There are a number of worksheets in the register to be completed. These include:

- Cover
- R01
- Entity Signing
- Supervised Entity
- Service Provider
- Additional General Information

The outsourcing arrangements shall be reported on a contract-by-contract (or written agreement) basis on the Register Reporting Template.

The firm is requested to provide a Unique Reference Number for each Contract or Written Agreement. This Unique Reference Number is key to linking various sections of the Reporting Template together.

In the case where multiple regulated entities (of a group) that outsource services sign the contract, or multiple supervised entities make use of the outsourced service and/or multiple service providers are included in the contract, each of these entities shall be reported on a separate line in the relevant worksheet. This is explained in more detail in Sections 7.3, 7.4 and 7.5.

7.1 Worksheet – Cover

The Cover Note is an important worksheet within the Template and is critical, together with the firm's C Number (which is collected via ONR at login) in ensuring that the Central Bank can correctly identify the firm which has submitted its Register.

Designated RFSPs must provide the following information in the cover sheet:

LEI Code	LEI of the firm completing the template. The LEI code attributed to the firm is a 20-character, alpha-numeric code based on the ISO 17442 standard.
Name	Name of the firm completing the template
Level of consolidation	Select between Solo and Group Level. Note: Each supervised group shall submit one outsourcing register template via the parent credit institution or the (mixed) financial holding company. In case a supervised entity is a solo institution and not part of a financial group, this supervised entity shall submit one outsourcing register on solo level.
Reference date (DD/MM/YYYY)	The reference date for the first submission is 31 December 2021 (31/12/2021)

7.2 Worksheet - R01

7.2.1 Information to be provided for all Outsourcing Arrangements

Data Point	Column	Input type	Description & Instructions for Completion
Internal reference number	010 (Refer to worksheet R01, Entity Signing, Supervised Entity & Service Provider)	Alphanumerical (A/N)	<p>Determined by the institution. Outsourcing arrangements are reported on a contract-by-contract basis.</p> <p>The internal reference number is unique reference per contract and should be reported in the 010 column in the following worksheets: R01, Entity Signing, Supervised Entity and Service Provider.</p> <ul style="list-style-type: none"> - In the Entity Signing the unique reference should be entered in the R01 for each of entities signing the contract. If multiple entities are signing the contract in the name of all recipients of the services, please add a line entry for each entity on worksheet "Entity Signing" using the same internal reference number used for that contract in R01. - In the Supervised Entity the unique reference should be entered in the R01 for each of Irish supervised entities signing the contract. If multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution on worksheet "Supervised Entity" using the same internal reference number used for that contract in R01. - In the Service Provider the unique reference should be entered in the R01 for each of the service providers in the contract. If multiple service providers are included in the contract, please add an additional line entry for each provider on the worksheet "Service Provider" using the same internal reference number used for that contract in R01.

			In the event of the service provider being an Intragroup arrangement, the firm should determine a unique reference number for each arrangement. Reference also Intragroup Arrangements - Column 130.
Start date of the contract / written agreement	170 (Refer to worksheet R01)	Date	Date of entry into force of the agreement (dd/mm/yyyy) as stipulated in the contract / written agreement. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 For the first submission, only include contracts / written agreements with a start date before the reference date (31/12/2021) The column cannot be left blank.
Date of next contract / written agreement renewal	180 (Refer to worksheet R01)	Date	Date (dd/mm/yyyy) of contract renewal as stipulated in the contractual agreement / written agreement or as planned by the parties. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.
End date of the contract	190 (Refer to worksheet R01)	Date	Date (dd/mm/yyyy) as stipulated in the contractual agreement / written agreement. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.
Notice period(s) for the institution	200 (Refer to worksheet R01)	Decimal	Notice period(s) for terminating the contract / written agreement by the outsourcing entity/entities in months. This field allows decimal values only. So for example populate 1 for one month or 1.5 for one and a half months' notice period etc.

Notice period(s) for service provider	210 (Refer to worksheet R01)	Decimal	Notice period(s) for terminating the contract / written agreement by the service provider(s) in months. This field allows decimal values only. So for example populate 1 for one month or 1.5 for one and a half months notice period etc.
Category of the outsourced function (Refer to Appendix 2 for Guidance on Categorisations of Outsourced Functions / Services)	220 (Refer to worksheet R01)	A/N	Category of the outsourced function assigned by the institution that reflects the nature of the function. If the contract covers multiple functions / services, please delimit with a semi colon and ensure no spaces are included either side of the semi-colon. Character limit of 600. Text greater than 600 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank.
Description of the outsourced function	230 (Refer to worksheet R01)	A/N	A brief (maximum 300 characters) description of the outsourced function, including the data that are outsourced. If the contract covers multiple functions / services, please delimit with a semi colon and ensure no spaces are included either side of the semi-colon. Text greater than 300 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank.

Transfer or processing of personal data to/by the service provider	240 (Refer to worksheet R01)	Y/N	"Y" if personal data is transferred to or processed by the service provider and "N" if no personal data is transferred to or processed by the service provider.
Location(s) of the data	250 (Refer to worksheet R01)	AA	Country/countries in which the data is stored with uppercase alpha-2 country codes to be used. If no data is stored, please fill with "N/A". In case data is stored in multiple countries, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: IE;GB;FR The column cannot be left blank.
Country/countries of provision of services	260 (Refer to worksheet R01)	AA	Country/countries from which the service is provided with uppercase alpha-2 country codes to be used. In case services are provided from multiple countries, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: IE;GB;FR The column cannot be left blank.
Critical or Important	270 (Refer to worksheet R01)	Y/N	If the outsourced function(s) is/are critical or important select "Y" for critical/important functions and "N" for non-critical/non-important functions. If answering "Y" to column 270, please ensure columns 280, 330 to 510 are completed. If data point 270 is answered "N", then 330 to 510 must be left blank.
Reasons for criticality or importance	280 (Refer to worksheet R01)	Predefined value (see description)	Selection of the following criteria (multiple selections possible) Please populate the representative character:

			<p>A - " Directive 2013/36/EU, Regulation (EU) No 575/2013, Directive 2014/65/EU, Directive (EU) 2015/2366 and Directive 2009/110/EC and their regulatory obligations",</p> <p>B - "a defect or failure in its performance would materially impair the financial performance",</p> <p>C - "a defect or failure in its performance would materially impair the soundness or continuity of services and activities",</p> <p>D - "operational tasks of internal control functions are outsourced",</p> <p>E - "outsourced activities or services would require authorisation by a competent authority",</p> <p>F - "outsourcing of operational tasks of financial and accounting function",</p> <p>G - "critical or important based on requirements in national (soft) law" - See Instructions,</p> <p>H - or "N/A".</p> <p>NOTE: In case multiple criteria are applicable, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. The data validation is case sensitive.</p> <p>Example of a correct submission single selection: B</p> <p>Example of a correct submission multiple selection: A;E;F</p> <p>The column cannot be left blank.</p>
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Last date of assessment of criticality or importance	290 (Refer to worksheet R01)	Date	Date (dd/mm/yyyy) of the last assessment of criticality or importance. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.
Cloud service model(s)	300 (Refer to worksheet R01)	Predefined value (see description)	Selection of the following criteria (multiple selections possible): "Software-as-a-Service", "Infrastructure-as-a-Service", "Platform-as-a-Service", "Other" or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: Infrastructure-as-a-Service;Other The column cannot be left blank.
Cloud deployment model(s)	310 (Refer to worksheet R01)	Predefined value (see description)	Selection of the following criteria (multiple selections possible): "Public cloud", "Private cloud", "Hybrid cloud", "Community cloud" or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon. Also ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: Public cloud;Hybrid cloud The column cannot be left blank.
Cloud outsourcing - specific nature of the data to be held	320 (Refer to worksheet R01)	A/N	Description of the specific nature of the data to be held in the cloud. If no data is held in the cloud, please fill with "N/A". Character limit of 600. Text greater than 600 characters will lead to a data validation failure and the file will be rejected.

7.2.2 Information to be provided for all Critical or Important Outsourcing Arrangements

In order to manage outsourcing risk effectively it is necessary to determine the criticality or importance, to the regulated firm, of the function, service or activity which is being outsourced. In conjunction with current legislation and or regulation, the Central Bank expects all regulated RFSPs to have regard to the definition of critical or important, as set out in EBA Guidelines on Outsourcing GL/02, when determining the criteria for criticality or importance of the Function(s) to be outsourced. Refer to Appendix 1 for further information.

If answering “Y” to column 270, all columns from 330 to 510 must be completed and cannot be left blank.

Data Point	Column	Input type	Description
Terms of contract have been reviewed and are in compliance with EBA/GL/2019/02 and relevant national laws and guidance.	330 (Refer to worksheet R01)	Y/N	"Y" if the contract has been reviewed and the overall compliance of the contractual arrangement with existing laws, regulations, competent authorities' policy stances, guidance or similar acts and EBA guidelines has been assessed and determined (e.g. by the legal department of the outsourcing institution). "N" otherwise. If data point at column 270 is answered "Y", then column 330 must be answered Y or N.

Estimated annual budget cost	340 (Refer to worksheet R01)	Decimal	<p>Estimated budget cost of the outsourcing arrangement on a contract by contract basis for the reporting period in EUR. The reference date of the outsourcing register shall be used to determine the spot Euro FX rate for conversion. Please note the data validation requires numeric input only. Inclusion of characters will lead to the file being rejected. As such please report in exact units.</p> <p>You may not for example report in millions/thousands, 2M will fail validation.</p> <p>If data point at column 270 is answered "Y", then column 340 must not be left blank.</p>
Date of last risk assessment	350 (Refer to worksheet R01)	Date	<p>Date (dd/mm/yyyy) of the last risk assessment.</p> <p>For Not Applicable values report 01/01/4444</p> <p>For Not Available values report 01/01/6666</p> <p>If data point at column 270 is answered "Y", then column 350 must not be left blank.</p>
Summary of the main results of the risk assessment	360 (Refer to worksheet R01)	A/N	<p>Brief (maximum 300 characters) summary of the main results (e.g. including the main risks identified) of the risk assessment.</p> <p>Text greater than 300 characters will lead to a data validation failure and the file will be rejected.</p>
Approving decision-making body	370 (Refer to worksheet R01)	A/N	<p>The individual or decision-making body (e.g. the management body) in the institution that approved the outsourcing arrangement (maximum 300 characters).</p> <p>Text greater than 300 characters will lead to a data validation failure and the file will be rejected.</p> <p>If data point at column 270 is answered "Y", then column 370 must not be left blank.</p>

Governing law of outsourcing agreement	380 (Refer to worksheet R01)	A/N	<p>The governing law of the outsourcing arrangement (maximum 300 characters). Text greater than 300 characters will lead to a data validation failure and the file will be rejected.</p> <p>If data point at column 270 is answered "Y", then column 380 must not be left blank.</p>
Date of last audit	390 (Refer to worksheet R01)	Date	<p>The date (dd/mm/yyyy) of the last audit (if applicable). This relates to audits conducted by the internal audit department or any other additional qualified personnel of the supervised entity; a joint team together with other clients of the same service provider ("pooled audit", see para. 91(a) of the EBA GLs); or a third party appointed by the supervised entity to audit the service provider. It does not relate to the reception or reference date of third-party certifications or internal audit reports of the service provider (para. 91(b) EBA GLs); the annual monitoring date of the outsourcing arrangement by the supervised entity; or the date of review of the risk assessment of the outsourcing arrangement by the supervised entity.</p> <p>For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666</p> <p>If data point at column 270 is answered "Y", then column 390 must not be left blank.</p>
Date of next audit	400 (Refer to worksheet R01)	Date	<p>The planned or estimated date (dd/mm/yyyy) of the next audit (if applicable). This relates to audits to be conducted by the internal audit department or any other additional qualified personnel of the supervised entity; a joint team together with other clients of the same service provider ("pooled audit", see para. 91(a) of the EBA GLs); or a third party appointed by the supervised entity to audit the service provider. It does not relate to the reception or reference date of third-party certifications or internal audit reports of the service provider (para. 91(b) EBA GLs); the annual monitoring date of the outsourcing arrangement by the supervised entity; or the date of review of the risk assessment of the outsourcing arrangement by the supervised entity.</p>

			<p>For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666</p> <p>If data point at column 270 is answered "Y", then column 400 must not be left blank.</p>
Possibility of sub-outsourcing of material parts of the outsourced function(s) included in contract	410 (Refer to worksheet R01)	Y/N	<p>"Y" if the contractual arrangement allows for sub-outsourcing of material parts of the outsourced function(s). "N" otherwise.</p> <p>If data point at column 270 is answered "Y", then column 410 must be answered Y or N.</p>
Name(s) of contractors for sub-outsourcing of material parts of the outsourced function(s)	420 (Refer to worksheet R01)	A/N	<p>Name of contractors for sub-outsourcing of material parts of the outsourced functions. In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. In case sub-contractors further sub-outsource material parts, the providers along that particular sub-outsourcing chain shall be delimited with a comma. Maximum 300 characters. Text greater than 300 characters will lead to a data validation failure and the file will be rejected.</p>
Country/countries where the contractors for sub-outsourcing of material parts are registered	430 (Refer to worksheet R01)	AA	<p>Country/countries where the contractors for sub-outsourcing of material parts are registered with uppercase alpha-2 country codes to be used. If no data is stored, please fill with "N/A". In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon.</p> <p>Please note the data validation is case sensitive. Example of a correct population: IE;GB;FR</p>

Country/countries where services are performed by contractors for sub-outsourcing of material parts	440 (Refer to worksheet R01)	AA	Country/countries where the services by contractors for sub-outsourcing of material parts are performed with uppercase alpha-2 country codes to be used. If no data is stored, please fill with "N/A". In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: IE;GB;FR
Location of the data by contractors for sub-outsourcing of material parts	450 (Refer to worksheet R01)	AA	Country/countries where data are stored by contractors for sub-outsourcing of material parts with uppercase alpha-2 country codes to be used. If no data is stored, please fill with "N/A". In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon and ensure no spaces are included either side of the semi-colon. Please note the data validation is case sensitive. Example of a correct population: IE;GB;FR
Transfer or processing of personal data to/by contractor for sub-outsourcing of material parts	460 (Refer to worksheet R01)	Y/N	"Y" if personal data is transferred to or processed by the contractor for sub-outsourcing of material parts and "N" if no personal data is transferred to or processed by the contractor for sub-outsourcing of material parts.
Outcome of the assessment of service provider's substitutability	470 (Refer to worksheet R01)	Predefined value (see description)	Selection of one of the following criteria: "Easy", "Difficult", "Impossible". Please note the data validation is case sensitive. If data point at column 270 is answered "Y", one of the criteria must be selected. Then column 470 cannot be left blank.

Possibility of reintegration of the outsourced function	480 (Refer to worksheet R01)	Predefined value (see description)	Selection of one of the following criteria: "Easy", "Difficult", "Impossible". Please note the data validation is case sensitive. If data point at column 270 is answered "Y", one of the criteria must be selected. Then column 480 cannot be left blank.
Impact of discontinuing the outsourced function	490 (Refer to worksheet R01)	A/N	Brief (maximum 300 characters) description of the impact of discontinuing the outsourced function. Text greater than 300 characters will lead to a data validation failure and the file will be rejected. If data point at column 270 is answered "Y", one of the criteria must be selected. Then column 490 cannot be left blank.
Alternative service providers	500 (Refer to worksheet R01)	A/N	Identification of alternative service providers in a list (maximum 300 characters). In case multiple alternative service providers have been identified, please delimit with a semi-colon and ensure no spaces are included either side of the semi colon. In case no alternative service provider could be identified, please fill with "N/A". Text greater than 300 characters will lead to a data validation failure and the file will be rejected. If data point at column 270 is answered "Y", then column 500 must not be left blank.
Outsourced function supports time-critical business operations	510 (Refer to worksheet R01)	Y/N	"Y" if the outsourced function supports time-critical business operations, "N" otherwise. If data point at column 270 is answered "Y", then column 510 must be answered Y or N.

7.3 Worksheet - Entity Signing the Contract

Data Point	Column	Input type	Description
Internal reference number	010 (Refer to worksheet R01, Entity Signing, Supervised Entity & Service Provider)	Alphanumerical (A/N)	<p>Determined by the institution. Outsourcing arrangements are reported on a contract-by-contract basis.</p> <p>The internal reference number is unique reference per contract and should be reported in the 010 column in the following worksheets: R01, Entity Signing, Supervised Entity and Service Provider.</p> <ul style="list-style-type: none"> - In the Entity Signing the unique reference should be entered in the R01 for each of entities signing the contract. If multiple entities are signing the contract in the name of all recipients of the services, please add a line entry for each entity on worksheet "Entity Signing" using the same internal reference number used for that contract in R01. - In the Supervised Entity the unique reference should be entered in the R01 for each of Irish supervised entities signing the contract. If multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution on worksheet "Supervised Entity" using the same internal reference number used for that contract in R01. - In the Service Provider the unique reference should be entered in the R01 for each of service providers in the contract. If multiple service providers are included in the contract, please add an additional line entry for each provider on worksheet "Service Provider" using the same internal reference number used for that contract in R01. In the event of the service provider being an Intragroup arrangement, the firm should determine a unique reference number for each arrangement. Reference also Intragroup Arrangements - Column 130.

LEI code	020 (Refer to worksheet Entity Signing)	A/N	20-character, alpha-numeric code based on the ISO 17442 standard. In the event the signing entity/entities do not have an LEI code, please fill with "N/A".
Name	030 (Refer to worksheet Entity Signing)	A/N	Legal name of the entity signing the contract with the service provider and that represents the entities that make use of the outsourcing. For all of the supervised entity the legal Character limit of 200. Text greater than 200 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank. If not available, please provide details of the reason why.
Country	040 (Refer to worksheet Entity Signing)	AA	Country in which the entity is located with uppercase alpha-2 country codes to be used. Please note the data validation is case sensitive. The column cannot be left blank.

7.4 Worksheet - Supervised Entity

Data Point	Column	Input type	Description
Internal reference number	010 (Refer to worksheet R01, Entity Signing, Supervised Entity & Service Provider)	Alphanumerical (A/N)	Determined by the institution. Outsourcing arrangements are reported on a contract-by-contract basis . The internal reference number is unique reference per contract and should be reported in the 010 column in the following worksheets: R01, Entity Signing, Supervised Entity and Service Provider.

			<p>- In the Entity Signing the unique reference should be entered in the R01 for each of entities signing the contract. If multiple entities are signing the contract in the name of all recipients of the services, please add a line entry for each entity on worksheet "Entity Signing" using the same internal reference number used for that contract in R01.</p> <p>- In the Supervised Entity the unique reference should be entered in the R01 for each of Irish supervised entities signing the contract. If multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution on worksheet "Supervised Entity" using the same internal reference number used for that contract in R01.</p> <p>- In the Service Provider the unique reference should be entered in the R01 for each of service providers in the contract. If multiple service providers are included in the contract, please add an additional line entry for each provider on worksheet "Service Provider" using the same internal reference number used for that contract in R01. In the event of the service provider being an Intragroup arrangement, the firm should determine a unique reference number for each arrangement. Reference also Intragroup Arrangements - Column 130.</p>
LEI code	050 (Refer to worksheet Supervised Entity)	A/N	20-character, alpha-numeric code based on the ISO 17442 standard. In the event the supervised entity/entities do not have an LEI code, please fill with "N/A".
Name	060 (Refer to worksheet Supervised Entity)	A/N	Name of the supervised entity that makes use of the outsourcing. Character limit of 200. Text greater than 200 characters will lead to a data validation failure and the file will be rejected.

			The column cannot be left blank. If not available, please provide details of the reason why.
Country	070 (Refer to worksheet Supervised Entity)	AA	Country in which the entity is located with uppercase alpha-2 country codes to be used. Please note the data validation is case sensitive. The column cannot be left blank.

7.5 Worksheet - Service Provider

<u>Data Point</u>	<u>Column</u>	<u>Input type</u>	<u>Description</u>
Internal reference number	010 (Refer to worksheet R01, Entity Signing, Supervised Entity & Service Provider)	Alphanumerical (A/N)	<p>Determined by the institution. Outsourcing arrangements are reported on a contract-by-contract basis.</p> <p>The internal reference number is unique reference per contract and should be reported in the 010 column in the following worksheets: R01, Entity Signing, Supervised Entity and Service Provider.</p> <ul style="list-style-type: none"> - In the Entity Signing the unique reference should be entered in the R01 for each of entities signing the contract. If multiple entities are signing the contract in the name of all recipients of the services, please add a line entry for each entity on worksheet "Entity Signing" using the same internal reference number used for that contract in R01. - In the Supervised Entity the unique reference should be entered in the R01 for each of Irish supervised entities signing the contract. If multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution on

			<p>worksheet "Supervised Entity" using the same internal reference number used for that contract in R01.</p> <p>- In the Service Provider the unique reference should be entered in the R01 for each of service providers in the contract. If multiple service providers are included in the contract, please add an additional line entry for each provider on worksheet "Service Provider" using the same internal reference number used for that contract in R01. In the event of the service provider being an Intragroup arrangement, the firm should determine a unique reference number for each arrangement. Reference also Intragroup Arrangements - Column 130.</p>
LEI code	080 (Refer to worksheet Service Provider)	A/N	<p>20-character, alpha-numeric code based on the ISO 17442 standard. In the event the service provider/providers do not have an LEI code, please fill with "N/A".</p>
Corporate registration number	090 (Refer to worksheet Service Provider)	A/N	<p>Corporate registration number as identified by the supervised entity unique to the service provider, which can be dependent on potential national regulation and identifiers (e.g. VAT number).</p>
Name	100 (Refer to worksheet Service Provider)	A/N	<p>Name of the service provider. Character limit of 200. Text greater than 200 characters will lead to a data validation failure and the file will be rejected.</p> <p>The column cannot be left blank. If not available, populate with Not Applicable.</p>
Country of the service	110 (Refer to worksheet	AA	<p>Country in which the global operating headquarters of service provider are located with uppercase alpha-2 country codes to be used.</p>

provider's headquarters	Service Provider)		The column cannot be left blank.
Registered address	120 (Refer to worksheet Service Provider)	A/N	Registered address of the service provider as stipulated in the contractual / written agreement. Character limit of 400. Text greater than 400 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank.
Intragroup outsourcing	130 (Refer to worksheet Service Provider)	Y/N	"Intragroup" for an arrangement in which the service provider belongs to the same group, either as part of the accounting or prudential scope of consolidation, as the outsourcing entity that is supervised by the Central Bank of Ireland. "Y" where Intragroup outsourcing is in place, "N" otherwise.
Name of the supervisory authority of the service provider	140 (Refer to worksheet Service Provider)	A/N	The name of the supervisory/competent authority in the context of paragraph 63a of the EBA Guidelines on Outsourcing Arrangements, in case the service provider is a supervised entity. If the service provider is not a supervised entity, please fill with "N/A". Character limit of 100. Text greater than 100 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank.
Name of the parent company of the service provider	150 (Refer to worksheet Service Provider)	A/N	Name of the ultimate parent of the service provider. If the service provider is the ultimate parent, please fill with "N/A". Character limit of 200. Text greater than 200 characters will lead to a data validation failure and the file will be rejected. The column cannot be left blank.

Country of the parent company's headquarters	160 (Refer to worksheet Service Provider)	AA	Country in which the parent's global operating headquarters are located with uppercase alpha-2 country codes to be used. If the service provider is the ultimate parent, please fill with "N/A". Please note the data validation is case sensitive. The column cannot be left blank.
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7.6 Worksheet - Additional General Information

The general content of the register was outlined in Appendix 3 of the [Cross-Industry Guidance on Outsourcing](#) in order to give RFSPs forewarning of the need to store this data in their Registers. The Central Bank requires this additional data to assist it in performing its regulatory responsibilities including those relating to the assessment of concentration risk. Some of the data provides additional granularity to ensure clarity within the registers with respect to the service providers with whom RFSPs are contracting.

<u>Data Point</u>	<u>Column</u>	<u>Input type</u>	<u>Description</u>
A record of terminated arrangements for an appropriate retention period.	IE010 (Refer to worksheet Additional General Information)	Y/N	"Y" if the firm keeps records of terminated arrangements, "N" otherwise.
Date of the last test of the firm's business continuity plan.	IE020 (Refer to worksheet Additional	Date	Date (dd/mm/yyyy) of the last test of the firm's business continuity plan. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.

	General Information)		
Details / commentary on testing of firm's business continuity plans.	IE030 (Refer to worksheet Additional General Information)	A/N	Brief (maximum 300 characters) description / commentary on the firm's BCP testing. Text greater than 300 characters will lead to a data validation failure and the file will be rejected.
Date of the last test of the OSPs business continuity plan.	IE040 (Refer to worksheet Additional General Information)	Date	Date (dd/mm/yyyy) of the last test of the OSPs business continuity plan. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.
Details / commentary on testing of OSPs business continuity plans.	IE050 (Refer to worksheet Additional General Information)	A/N	Brief (maximum 300 characters) description / commentary on the OSP's BCP testing. Text greater than 300 characters will lead to a data validation failure and the file will be rejected.
Date of the last test of firm's Exit Strategies.	IE060 (Refer to worksheet Additional General Information)	Date	Date (dd/mm/yyyy) of the last test of the firm's Exit strategy. For Not Applicable values report 01/01/4444 For Not Available values report 01/01/6666 The column cannot be left blank.

Details / commentary on testing of firm's Exit strategies	IE070 (Refer to worksheet Additional General Information)	A/N	Brief (maximum 300 characters) description / commentary on the testing of the firm's exit strategies. Text greater than 300 characters will lead to a data validation failure and the file will be rejected.
Category of the Outsourced Service Provider	IE080 (Refer to worksheet R01)	Predefined Value (see description)	Selected category to align with data point column 220. To assist with data validation please select one or more of the options from the list below: Third Party Vendor (TPV) Sub-outsourcer Intragroup FinTech Firm Partnership RegTech Other Please delimit with a semi-colon and ensure no spaces are included. Please note the data validation is case sensitive.
Total number of outsourced service arrangements in place	IE120 (Refer to worksheet Additional General Information)	Integer	Total Number - this should include all critical or important arrangements and non-critical or important whether with external Third Party Vendors (TPVs) or Intragroup arrangements. Please populate integer value only. Inclusion of any text will lead to a data validation failure and the file will be rejected. The column cannot be left blank.

Total number of "critical and or important" outsourced arrangements in place.	IE130 (Refer to worksheet Additional General Information)	Integer	Total Number of "critical and or important" outsourced arrangements in place. Please populate integer value only. Inclusion of any text will lead to a data validation failure and the file will be rejected. The column cannot be left blank.
Total number of arrangements with Cloud Service Providers (CSPs)	IE140 (Refer to worksheet Additional General Information)	Integer	Total Number of arrangements with Cloud Service Providers (CSPs). Please populate integer value only. Inclusion of any text will lead to a data validation failure and the file will be rejected. The column cannot be left blank.
Does the firm have an Outsourcing Risk Management Framework in place?	IE150 (Refer to worksheet Additional General Information)	Y/N	"Y" if the firm has an Outsourcing Risk Management Framework in place, "N" otherwise.
Does the firm have an Outsourcing Policy in place?	IE160 (Refer to worksheet Additional General Information)	Y/N	"Y" if the firm has an Outsourcing Policy in place, "N" otherwise.
Is the Outsourcing Policy approved by the Board?	IE170 (Refer to worksheet Additional General Information)	Y/N	"Y" if the Outsourcing Policy is approved by the Board, "N" otherwise.

Does the firm provide outsourcing services to other regulated RFSPs?	IE180 (Refer to worksheet Additional General Information)	Y/N	"Y" if the firm provides outsourcing services to other regulated RFSPs, "N" otherwise.
Description of the services provided and to whom	IE190 (Refer to worksheet Additional General Information)	A/N	Description of the services provided and to whom. Maximum 300 characters. Text greater than 300 characters will lead to a data validation failure and the file will be rejected. If data point at column IE180 is answered Y, then column IE190 cannot be left blank.
Are Contracts / Written Agreements supported by SLAs?	IE200 (Refer to worksheet Additional General Information)	Y/N	"Y" if Contracts / Written Agreements are supported by SLAs, "N" otherwise.

Appendix 1: Guidance on Criteria for Determining Criticality and Importance of Outsourcing Arrangements

The [Cross-Industry Guidance on Outsourcing](#) included an appendix, (Appendix 2 – Definitions and Criteria for Critical or Important Functions). This appendix was included for ease of reference, by RFSPs, to relevant sectoral regulations and guidelines (applicable as at time of publication) dealing with criteria relating to “critical or important”.

The Central Bank did not include a prescriptive definition of what constitutes ‘critical or important’ outsourcing arrangements, but rather (in line with other relevant guidelines) has suggested factors to be considered when determining if an activity/service is critical or important. The Central Bank does not deem it appropriate to outline a list of critical or important activities/services, given that the financial service landscape is continually evolving and the use of new business models and technologies is ever changing. Rather it has provided a set of factors/criteria to be considered, which can be assessed against at a point in time and these should be subjected to regular review. RFSPs are expected to take a risk-based approach in their assessment of criticality and importance, bearing in mind the principle of proportionality.

Appendix 2: Guidance on Categorisations of Outsourced Functions / Services

The function / service categories listed below can be used as a guidance tool for mapping purposes (refer to Data Point 220 “Category of the Outsourced Function” in the Outsourcing Register template). RFSPs are asked to select the relevant category that they consider the most appropriate for their respective firm and/or sector for each outsourcing arrangement.

Certain arrangements (i.e. provision of professional services) should be excluded for the submission of the Register e.g. legal, annual audit services and advisory services.

Function / Service Category	Examples (non-exhaustive)
Anti-Money Laundering ('AML')/Countering Financing of Terrorism ('CFT')/ Financial Sanctions ('FS')	Anti-Money Laundering ('AML')/Countering Financing of Terrorism ('CFT')/ Financial Sanctions ('FS') Client due diligence KYC PEP Financial Crime / Fraud
Application processing	loan origination, credit cards
Loan administration	loan negotiations, loan processing, collateral management, collection of bad loans, asset servicing
Middle and back office operations	payroll processing, quality control, purchasing, liquidity management, pension administration, syndication of loans, settlements, credit background and background investigation and information services, assistance with tax compliance calculations, preparation of financial and statutory reporting, support financial reporting and systems, treasury activities, aged analysis, finance corporate services, regulatory reporting, management accounts
Payment Services and processing	Electronic Funds Transfer
Distribution	Insurance brokers and agency services, distribution, brokers
Management of policy issuance and	policy administration (e.g., premium collection, policy assembly, invoicing, endorsements)

claims operations by managing agents	
Claims Administration (e.g. claims handling and operations)	claims handling, payments issue, administration & operations (e.g., loss reporting, adjusting)
Direct Procurement	Telematics
Investment and Asset management	portfolio management, cash management, asset management, finance asset management
Depository Activities	custodial and safekeeping services
Document processing	cheques processing, credit card slips, bill payments, bank statements, other corporate payments
Fund Administration services (including preparation of financial statements)	NAV calculations, preparation of fund annual reports, preparation of fund annual financial statements, Transfer Agency
Financial & Securities Services	<ul style="list-style-type: none"> Product development Principal brokerage services Issuing business Investment brokerage Investment advisory Acquisition brokerage Operation of multilateral trading systems Operation of organised trading systems Underwriting Financial portfolio management Margin lending (Lending for security trading) Securities settlement Securities accounting Factoring Financial leasing
Information systems management and maintenance	data processing, management of data centres, end-user support, local area networks, IT help desks, application development and management, maintenance and support of licensed software, hardware and software, provision of IT infrastructure, including telecommunications

Information Security	IT Security, cyber security, systems and network security, data security, web access Joiners/Movers/Leavers Penetration testing
Cloud computing services	software-as-a-service, platform-as-a-service, infrastructure-as-a-service
Business continuity and disaster recovery functions and activities	business continuity and disaster recovery functions and activities
Business Processing	Call Centres
Manpower management	benefits and compensation administration, staff appointment, training, competency and development, human resources, recruitment, staff vetting
Marketing and research	product development, data mining, advertising, media relations, telemarketing
New Business Services	process proposals, underwriting policies, issue quotes, assistance with new business
RegTech Services	RegTech applications and solutions such as Legislation and Regulation gap analysis tools, Compliance universe tools, Compliance health check tools, Regulatory Compliance and monitoring Management Information tools, Transaction and regulatory reporting monitoring
Risk management or internal control functions	risk, risk management (incl. IT risk management) , quality assurance, internal audit (incl. IT Internal Audit), actuarial, compliance and regulatory guidance, risk management attestation, incident management, management of operational risk, governance and operational controls, manage regulatory breaches, change management (Excluding AML/CFT/Financial Sanctions services)
Support services including archival and storage of documentation and records	ATM maintenance, archiving, customer support and service, temporary help and contract personnel, records management, maintenance of agency records, complaints handling, post sales and queries

White-labelling arrangements such as trading and hedging facilities	trading and hedging facilities
Others	Specific to particular RFSPs

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



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