



Public Consultation: Reporting Instructions for the outsourcing register template

1. Structure of the reporting

The planned collection of outsourcing registers is based on paragraph 56 of the EBA Guidelines on Outsourcing Arrangements (EBA/GL/2019/02):

Institutions and payment institutions should, upon request, make available to the competent authority either the full register of all existing outsourcing arrangements or sections specified thereof, such as information on all outsourcing arrangements falling under one of the categories referred to in point (d) of paragraph 54 of these guidelines (e.g. all IT outsourcing arrangements). Institutions and payment institutions should provide this information in a processable electronic form (e.g. a commonly used database format, comma separated values).

In order to establish a common basis for the submission of the outsourcing registers, the ECB developed a template for the submission of outsourcing registers. (1.1) The reporting frequency, submission dates and submission process of this template are outlined in the next section followed by (1.2) the conventions of reporting the template as well as mode of reporting of single outsourcing arrangements within the register and (1.3) specifications on the content of the outsourcing register template (filling instructions).

As part of this public consultation, the **ECB invites participants to comment** on (1.2) the conventions of reporting the template as well as mode of reporting of single outsourcing arrangements within the register and (1.3) specifications on the content of the outsourcing register template (filling instructions) either during the WebEx meeting on 16 December 2021 or via written comments until 21 January 2022 to ssm.outsourcing@ecb.europa.eu. Subsequently, the ECB will collect the comments, address them and, where necessary, make amendments to the template. The final template will be provided to banks in due advance of the submission date to be set by the ECB.

1.1 Reporting frequency, submission dates, and submission process

The first reference date for the submission of outsourcing registers will be 31.12.2021. Subsequently, the Directorate General for Horizontal Line Supervision of the ECB will collect outsourcing registers **annually with reference date year-end**. Based on paragraph 56, Joint Supervisory Teams can collect outsourcing register templates with a different reference date at their discretion.

The ECB expects **Significant Institutions** (SIs) to submit their filled outsourcing register templates via its **Centralised Submission Platform** ([CASPER](#)). The process for access granting to Delegated Access Administrators at SIs – if not already assigned as part of other data collections – will be communicated at a later stage. Introductory CASPER training sessions will be held after the finalisation of the public consultation.

1.2 Conventions of reporting the template and modalities of reporting single outsourcing arrangements within the register

The ECB expects SIs to submit **one outsourcing register template per supervised entity**. This template should include **all outsourcing arrangements** for the supervised entity or banking group, its subsidiaries that are part of the prudential scope of consolidation, and related branches. Concretely, this means that **intragroup outsourcing arrangements** between two subsidiaries must be included in the outsourcing register.

The outsourcing register template shall be reported **contract-by-contract**. In case multiple outsourcing entities sign the contract, multiple supervised entities make use of the outsourced service and/or multiple service providers are included in the contract, each of these entities or corporations should be reported in a **separate line**. Other information, for example the countries from which the services are provided or where data is stored, should be delimited with a semi-colon (e.g. columns 250 and 260).

The template should not be modified in its content (i.e. deleting/rearranging sheets or editing cells format/content). All monetary amounts should be reported in EUR units. All currencies should be converted into EUR. Date fields should be filled according to the short date format (DD/MM/YYYY). CASPER performs automated data quality and completeness checks on the abovementioned information. Empty cells will be interpreted as missing data, e.g. if a contract is indefinite, the end date of the contract should be filled with "N/A".



1.3 Specifications on the content of the outsourcing register template (filling instructions)

Data point		Column	Reference	Input type	Description	
For all outsourcing arrangements	Internal reference number	010	EBA/GL/2019/02 para. 54a	Alphanumerical (A/N)	Determined by the institution	
	Entity signing the contract	LEI code	020	EBA/GL/2019/02 para. 55a	A/N	20-character, alpha-numeric code based on the ISO 17442 standard. In case multiple supervised entities are signing the contract in the name of all recipients of the services, please add an additional line entry for each institution.
		Name	030	EBA/GL/2019/02 para. 55a	A/N	Legal name of the supervised entity signing the contract that represents the entities that make use of the outsourcing. In case multiple supervised entities are signing the contract in the name of all recipients of the services, please add an additional line entry for each institution.
		Country	040	EBA/GL/2019/02 para. 55a	A/N	Country in which the entity is located with alpha-2 country codes to be used. In case multiple supervised entities are signing the contract in the name of all recipients of the services, please add an additional line entry for each institution.
	Supervised entity that makes use of the outsourcing	LEI code	050	EBA/GL/2019/02 para. 55a	A/N	20-character, alpha-numeric code based on the ISO 17442 standard. In case multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution.
		Name	060	EBA/GL/2019/02 para. 55a	A/N	Name of the supervised entity that makes use of the outsourcing. In case multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution.

Data point		Column	Reference	Input type	Description
	Country	070	EBA/GL/2019/02 para. 55a	AA	Country in which the entity is located with alpha-2 country codes to be used. In case multiple supervised entities make use of the outsourced services, please add an additional line entry for each institution.
Service provider details	LEI code	080	EBA/GL/2019/02 para. 54e	A/N	20-character, alpha-numeric code based on the ISO 17442 standard. In case multiple service providers are included in the contract, please add an additional line entry for each provider.
	Corporate registration number	090	EBA/GL/2019/02 para. 54e	A/N	Corporate registration number unique to the service provider. In case multiple service providers are included in the contract, please add an additional line entry for each provider.
	Name	100	EBA/GL/2019/02 para. 54e	A/N	Name of the service provider. In case multiple service providers are included in the contract, please add an additional line entry for each provider.
	Country of the service provider's headquarters	110	EBA/GL/2019/02 para. 54e	AA	Country in which the service provider is located with alpha-2 country codes to be used. In case multiple service providers are included in the contract, please add an additional line entry for each provider.

Data point		Column	Reference	Input type	Description
	Registered address	120	EBA/GL/2019/02 para. 54e	A/N	Registered address of the service provider as stipulated in the contractual agreement. In case multiple service providers are included in the contract, please add an additional line entry for each provider.
	Intragroup outsourcing	130	EBA/GL/2019/02 para. 43, 55b, 62, and 63	Predefined value (see description)	"Intragoup" for an arrangement in which the service provider belongs to the same corporate group as the outsourcing entity that is supervised by the SSM; in case the service provider sub-outsources the entire service to a provider outside of the corporate group, the initial outsourcing should not be considered an intra-group outsourcing. "IPS" for an arrangement within their institutional protection scheme including entities fully owned individually by other members of the IPS or collectively by institutions within the institutional protection scheme. "Outside" for arrangements with entities outside of the corporate group and not part of the institution's IPS.
	Name of the supervisory authority of the service provider	140		A/N	The name of the supervisory/competent authority in case the service provider is a supervised entity. If the service provider is not a supervised entity, please fill with "N/A". In case multiple service providers are included in the contract, please add an additional line entry for each provider.
	Name of the parent company of the service provider	150	EBA/GL/2019/02 para. 54e	A/N	Name of the ultimate parent of the service provider. If the service provider is the ultimate parent, please fill with "N/A". In case multiple service providers are included in the contract, please add an additional line entry for each provider.

Data point		Column	Reference	Input type	Description
	Country of the parent company's headquarters	160		AA	Country in which the parent's headquarters are located with alpha-2 country codes to be used. If the service provider is the ultimate parent, please fill with "N/A". In case multiple service providers are included in the contract, please add an additional line entry for each provider.
Outsourced function details	Start date of the contract	170	EBA/GL/2019/02 para. 54b	Date	Date (dd/mm/yyyy) as stipulated in the contractual agreement.
	Date of next contract renewal	180	EBA/GL/2019/02 para. 54b	Date	Date (dd/mm/yyyy) of contract renewal as stipulated in the contractual agreement or as planned by the parties. If the contract is indefinite, please fill with "N/A".
	End date of the contract	190	EBA/GL/2019/02 para. 54b	Date	Date (dd/mm/yyyy) as stipulated in the contractual agreement. If the contract is indefinite, please fill with "N/A".
	Notice period for the institution	200	EBA/GL/2019/02 para. 54b	Numerical	Notice period for terminating the contract by the outsourcing entity/entities in days.
	Notice period for service provider	210	EBA/GL/2019/02 para. 54b	Numerical	Notice period for terminating the contract by the service provider(s) in days.
	Category of the outsourced function	220	EBA/GL/2019/02 para. 54d	A/N	Category of the outsourced function assigned by the institution that reflects the nature of the function
	Description of the outsourced function	230	EBA/GL/2019/02 para. 54c	A/N	A brief (maximum 300 characters) description of the outsourced function, including the data that are outsourced
	Storage or processing of confidential data by the service provider	240	EBA/GL/2019/02 para. 54c	Predefined value (see description)	Selection of the following criteria (multiple selections possible): "Personal data", "Commercially sensitive data", or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon.
	Physical location(s) of stored and/or processed data by service provider	250	EBA/GL/2019/02 para. 54f	AA	Country/countries in which the data is stored and/or processed with alpha-2 country codes to be used. In case data is stored/processed in multiple countries,

Data point		Column	Reference	Input type	Description
					please delimit with a semi-colon. If no data is stored and/or processed, please fill with "N/A".
	Country/countries of provision of services	260	EBA/GL/2019/02 para. 54f	AA	Country/countries from which the service is provided with alpha-2 country codes to be used. In case services are provided from multiple countries, please delimit with a semi-colon.
	Critical or Important	270	EBA/GL/2019/02 para. 54g	[y, n]	Dummy variable indicating if the outsourced function(s) is/are critical or important with "y" for critical/important functions and "n" for non-critical/non-important functions.
	Reasons for criticality or importance	280	EBA/GL/2019/02 para. 54g	Predefined value (see description)	Selection of the following criteria (multiple selections possible): "a defect or failure in its performance would materially impair the continuing compliance with the conditions of their authorisation or its other obligations under 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", "a defect or failure in its performance would materially impair the financial performance", "a defect or failure in its performance would materially impair the soundness or continuity of banking and payment services and activities", "operational tasks of internal control functions are outsourced", "outsourced banking activities or payment services would require authorisation by a competent authority" or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon.
	Last date of assessment of criticality or importance	290	EBA/GL/2019/02 para. 54i	Date	Date (dd/mm/yyyy) of the last assessment of criticality or importance.

Data point		Column	Reference	Input type	Description	
	Cloud service model(s)	300	EBA/GL/2019/02 para. 54h	Predefined value (see description)	Selection of the following criteria (multiple selections possible): "Software-as-a-Service", "Infrastructure-as-a-Service", "Platform-as-a-Service" or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon.	
	Cloud deployment model(s)	310	EBA/GL/2019/02 para. 54h	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.	
	Specific nature of the data to be held	320	EBA/GL/2019/02 para. 54c, 54h	A/N	Description of the specific nature of the data to be stored/processed. If no data is stored and/or processed, please fill with "N/A".	
For critical and important outsourcing arrangements	Terms of contract have been reviewed and are in compliance with EBA/GL/2019/02 and relevant national laws	330	EBA/GL/2019/02 para. 15	[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.	
	Due diligence, risk assessment and additional information	Estimated annual budget cost	340	EBA/GL/2019/02 para. 55k	Numerical	Estimated budget cost of the outsourcing arrangement for the reporting period in EUR.
		Date of last risk assessment	350	EBA/GL/2019/02 para. 55c	Date	Date (dd/mm/yyyy) of the last risk assessment.
		Summary of the main results and main risks identified	360	EBA/GL/2019/02 para. 55c	A/N	Brief (maximum 300 characters) summary of the main results (including the main risks identified) of the risk assessment.
		Approving decision-making body	370	EBA/GL/2019/02 para. 55d	A/N	The individual or decision-making body (e.g. the management body) in the institution that approved the outsourcing arrangement (maximum 300 characters).

Data point		Column	Reference	Input type	Description
	Governing law of outsourcing agreement	380	EBA/GL/2019/02 para. 55e	A/N	The governing law of the outsourcing arrangement (maximum 300 characters).
	Date of last audit	390	EBA/GL/2019/02 para. 55f	Date	The date (dd/mm/yyyy) of the last audit (if applicable).
	Date of next audit	400	EBA/GL/2019/02 para. 55f	Date	The planned date (dd/mm/yyyy) of the next audit (if applicable).
	Possibility of sub-outsourcing of material parts of the outsourced function(s) included in contract	410	EBA/GL/2019/02 para. 76, 77	[y, n]	"y" if the contractual arrangement allows for sub-outsourcing of material parts of the outsourced function(s). "n" otherwise.
	Name(s) of contractors for sub-outsourcing of material parts of the outsourced function(s)	420	EBA/GL/2019/02 para. 55g	A/N	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.
	Country/countries of headquarters of contractors for sub-outsourcing of material parts	430	EBA/GL/2019/02 para. 55g	AA	Country/countries of the headquarters of the contractors for sub-outsourcing of material parts with alpha-2 country codes to be used. In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon.
	Country/countries where services are performed by contractors for sub-outsourcing of material parts	440	EBA/GL/2019/02 para. 55g	AA	Country/countries where the services by contractors for sub-outsourcing of material parts are performed with alpha-2 country codes to be used. In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon.
	Physical location of stored and/or processed data by contractors for sub-outsourcing of material parts	450	EBA/GL/2019/02 para. 55g	AA	Country/countries where data is stored/processed by contractors for sub-outsourcing of material parts with alpha-2 country codes to be used. In case multiple contractors provide sub-outsourcing services, please delimit with a semi-colon.

Data point		Column	Reference	Input type	Description
	Storage or processing of confidential data by contractor for sub-outsourcing of material parts	460		Predefined value (see description)	Selection of the following criteria (multiple selections possible): "Personal data", "Commercially sensitive data", or "N/A". In case multiple criteria are applicable, please delimit with a semi-colon.
	Outcome of the assessment of service provider's substitutability	470	EBA/GL/2019/02 para. 55h	Predefined value (see description)	Selection of one of the following criteria: "easy", "difficult", "impossible"
	Possibility of reintegration of the outsourced function	480	EBA/GL/2019/02 para. 55h	Predefined value (see description)	Selection of one of the following criteria: "easy", "difficult", "impossible"
	Impact of discontinuing the outsourced function	490	EBA/GL/2019/02 para. 55h	A/N	Brief (maximum 300 characters) description of the impact of discontinuing the outsourced function.
	Alternative service providers	500	EBA/GL/2019/02 para. 55i	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.
	Outsourced function supports time-critical business operations	510	EBA/GL/2019/02 para. 55j	[y, n]	"y" if the outsourced function supports time-critical business operations, "n" otherwise.