

# Consultation Paper

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On Draft Implementing Technical Standards to establish the templates composing the register of information in relation to all contractual arrangements on the use of ICT services provided by ICT third-party service providers as mandated by Regulation (EU) 2022/2554

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# Abbreviations

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<b>CP</b>	<b>Consultation Paper</b>
<b>DORA</b>	<b>Digital Operational Resilience Act</b>
<b>EBA</b>	<b>European Banking Authority</b>
<b>EIOPA</b>	<b>European Insurance and Occupational Pensions Authority</b>
<b>ESMA</b>	<b>European Securities and Markets Authority</b>
<b>ESAs</b>	<b>European Supervisory Authorities</b>
<b>EU</b>	<b>European Union</b>
<b>ICT</b>	<b>Information and Communication Technology</b>
<b>ICT TPP</b>	<b>ICT third-party service provider</b>
<b>JC</b>	<b>Joint Committee of the ESAs</b>
<b>NCA</b>	<b>National Competent Authority</b>
<b>IA</b>	<b>Impact assessment</b>

# 1. Responding to this Consultation

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The ESAs invite comments on all proposals put forward in this paper and in particular on the specific questions summarised in Paragraph 6.2.

Comments are most helpful if they:

- respond to the question stated;
- indicate the specific point to which a comment relates;
- contain a clear rationale;
- provide evidence to support the views expressed/ rationale proposed; and
- describe any alternative regulatory choices the ESAs should consider.

## Submission of responses

To submit your comments, click on the 'send your comments' button on the consultation page by 11.09.2023. Please note that comments submitted after this deadline, or submitted via other means may not be processed.

## Publication of responses

All contributions received will be published following the close of the consultation, unless you request otherwise. Please clearly and prominently indicate in your submission any part you do not wish to be publicly disclosed. A standard confidentiality statement in an email message will not be treated as a request for non-disclosure. A confidential response may be requested from us in accordance with the ESAs' rules on access to documents. We may consult you if we receive such a request. Any decision we make not to disclose the response is reviewable by ESAs' Boards of Appeal and the European Ombudsman.

## Data protection

The protection of individuals with regard to the processing of personal data by the ESAs is based on Regulation (EU) 1725/2018 of the European Parliament and of the Council of 23 October 2018. Further information on data protection can be found under the Legal notice section of EBA, EIOPA and ESMA websites respectively.

## 2. Executive Summary

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One of the objectives of Regulation (EU) 2022/2554 on digital operational resilience for the financial sector (“DORA”) is to ensure a sound monitoring of ICT third-party risk in the financial sector. The conduct of such monitoring should follow a strategic approach to ICT third-party risk formalised through a dedicated ICT third-party risk strategy adopted by the financial entities’ (FEs’) management bodies, rooted in a continuous screening of all ICT third-party dependencies.

In light of the above and considering the need to enhance supervisory awareness and enable effective supervision of FEs’ ICT third-party dependencies by Competent Authorities (CAs), and with a view to further supporting the work in the context of the Oversight Framework established by the DORA, according to Article 28(3) all FEs are required to maintain and update at entity level, at sub-consolidated and consolidated levels, a register of information in relation to all contractual arrangements on the use of ICT services provided by ICT Third Party Service Providers (ICT TPPs).

Article 28(9) of the DORA mandates the European Supervisory Authorities (ESAs) to develop draft implementing technical standards to establish the standard templates for the purposes of the register of information, including information that is common to all contractual arrangements on the use of ICT services.

In fulfilment of the mandate, the draft ITS presented in this consultation paper (CP) includes the templates of the register of information which are designed to achieve all the three purposes as described in the first two paragraphs above. Although the ITS does not contain specifications regarding the process of sharing information from FEs to CAs and from CAs to the Oversight Forum<sup>1</sup>, the templates and the requirements of their data points have been designed considering a data management and reporting perspective to ensure consistency and harmonisation by design and avoid burdensome reprocessing of data for reporting purposes.

Furthermore, and with specific reference to the first key purpose mentioned above (FEs’ ICT and third-party risk management), the register of information aims at ensuring a minimum level of content and harmonisation. It is expected that FEs complement the information required by the templates included in the draft ITS by tailoring them to their internal and individual risk management purposes.

The set of templates composing the register of information are proportionate by design since the quantity of information to be included depends on the the extent of dependency on services provided by ICT third-party service providers. Therefore, a FE relying on a significant number of ICT third-party service providers has more information to report in the register of information than a FE depending on a small number or ICT third-party service providers.

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<sup>1</sup> Following article 32 of the DORA on the Oversight Forum.

For proportionality purposes, FEs are required to report certain additional information such as complementary information about the risk assessment, the ICT supply chain or about the involvement of suboutsourcers only if the ICT service provided supports a critical or important function.

The development of the templates included in the draft ITS has been performed leveraging on current practices relating to outsourcing supervision of several CAs, and the templates are based on lessons learned from previous data collection exercises carried out by CAs and the ESAs.

## 3. Background and rationale

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1. Article 28(3) of Regulation (EU) 2022/2554 (“DORA”) requires financial entities (FEs), as part of their ICT risk management framework, to maintain and update at entity level, at sub-consolidated and consolidated levels, a register of information in relation to all contractual arrangements on the use of ICT services provided by ICT third-party service providers. FEs shall also make available to the competent authorities (CAs) the register of information along with any information deemed necessary to enable the effective supervision of FEs and for acquiring a broader understanding of the ICT dependencies of FEs with a view to support the Oversight Framework of critical ICT third-party service providers.
2. In this regard, Article 28(9) mandates the ESAs to develop draft implementing technical standards (ITS) to establish the standard templates for the purposes of the register of information, including information that is common to all contractual arrangements on the use of ICT services.
3. The following chapter sets out how the ESAs are proposing to fulfill this mandate and the key underlying reasoning and considerations taken into account when developing the templates constituting it. In addition, the Impact Assessment (IA) section at the end of the Consultation Paper (CP) provides additional choices and options that have been considered by the ESAs when developing this mandate.
4. In order to fulfill the purpose of the register of information outlined in paragraph 1, the templates included in the draft ITS aim to:
  - a. capture minimum and necessary information concerning the contractual arrangements and the assessment of the related risks stemming from them for FEs;
  - b. capture the ICT service supply chain with a focus on subcontractors of ICT services supporting a critical or important function or material parts thereof (‘material subcontractors’);
  - c. identify unambiguously and consistently the ICT third-party service providers and the FEs by using the Legal Entity Identifier (LEI) code<sup>2</sup> to enable an efficient aggregation of relevant information;
  - d. identify the (critical or important) functions supported by the ICT services provided by ICT third-party service providers following the steps listed below
    - i. FEs to identify all their operational and business functions;
    - ii. FEs to identify which functions are critical or important according to their internal assessment considering the definition in Article 3(22) of the DORA;

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<sup>2</sup> The draft ITS sets the requirement for all the financial entities and the ICT third-party service providers that are legal persons to procure and maintain for themselves a valid LEI.

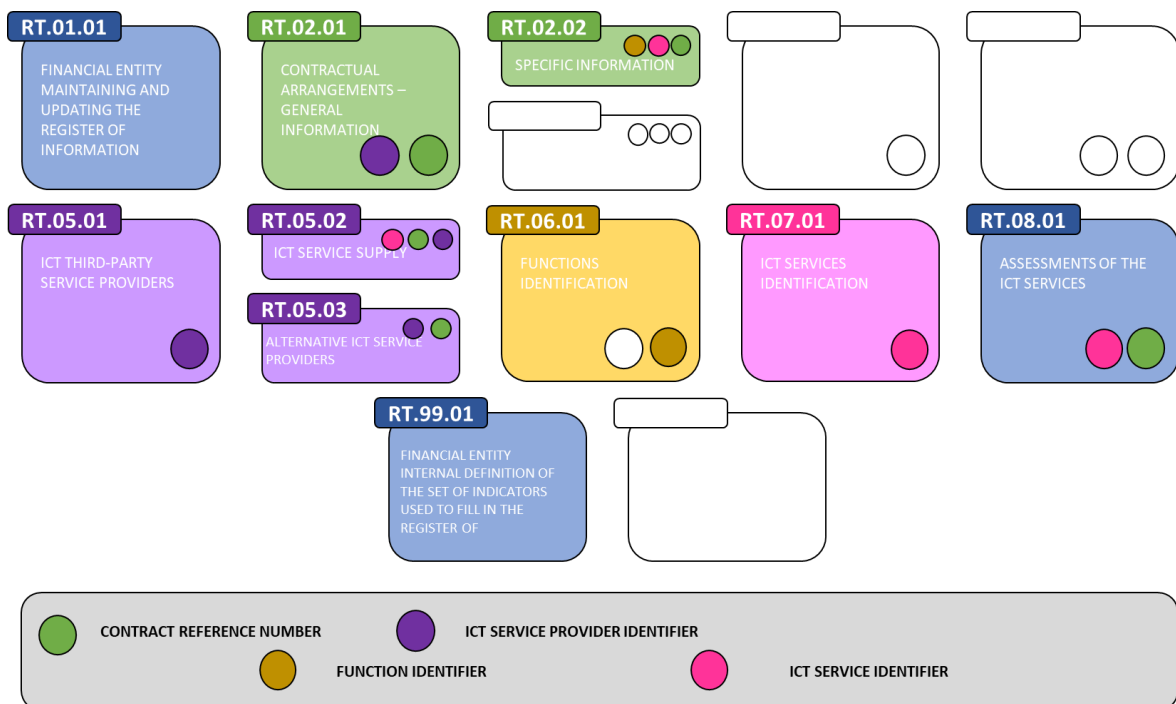
- iii. FEs to identify the ICT services provided by ICT third-party service providers supporting the functions, (not only the critical or important functions)
  - iv. In case of groups, there is the additional need to capture the following links:
    1. contracts between entities within the group only (internal contracts)
    2. contracts between an entity within the group and an external ICT third-party service provider (external contracts)
5. When it comes to groups, Article 2 of DORA makes reference to the Accounting Directive (Directive 2013/34/EU) to define the meaning of a ‘group’, a ‘parent undertaking’ and a ‘subsidiary’. However, it is silent on how the FEs shall define the perimeter of sub-consolidation and the entities to be included in the scope of both sub-consolidation and consolidation, considering the practices stemming from the different financial regulations. In order to address these points, the draft ITS contains the principles to be followed by the parent undertaking of a group while defining the scope and the level of sub-consolidation.
6. The register of information is composed of a set of open tables, all linked to each other by using different specific keys in order to form a relational structure. In order to ensure clarity, the draft ITS proposes two sets of templates: one to be used at entity level and another one to be used at sub-consolidated and consolidated level.



## Register of information at entity level

- The scope of the contractual arrangements to be included in the register of information at entity level are the contractual arrangements that cover functions of which the financial entity makes use of.
- The register of information at entity level is composed of 10 templates. Illustration 1 shows the relational structure between the templates highlighting the relational keys used to link one template to another.

### Illustration 1: Structure of the Register of Information maintained and updated at entity level



*The 4 white-colored templates are designed only for the register of information at sub-consolidated and consolidated level for reconciliation purposes.*

- As illustration 1 above shows, all templates (except for templates RT.01.01 and RT.99.01 being more technical templates) are linked to each other by using relational keys. The keys used are the following ones: (i) the contract reference number; (ii) the ICT third-party service provider identifier; (iii) the function identifier and (iv) the ICT service identifier.

The keys are represented by coloured circles in the illustration above. The color code of the circles matches the one of the templates where the relational keys are defined. For example, the relational key “contract reference number” is defined in templates RT.02.01. Furthermore, illustration 1 shows the presence of the different relational keys in the various templates. For example, the relational key ‘contract reference number’ is used to link the information of templates RT.02.01, RT.02.02, RT.05.02, RT.05.03 and RT.08.01.

**Table 1: Objectives of the templates of the register of Information at entity level**

Template Code	Template Name	Short Description
RT.01.01	Financial Entity maintaining the register of information	Objective of this template is to identify the financial entity maintaining the register of information at entity level.
RT.02.01	Contractual Arrangements – General Information	Objective of this template is to list all contractual arrangements between the financial entity and its direct ICT third party service providers. For each contractual arrangement between the financial entity and the direct ICT third party service provider, the financial entity shall assign a unique ‘contractual arrangement reference number’ to identify unambiguously the contractual arrangement itself.
RT.02.02	Contractual Arrangements – specific information	Objective of this template is to provide details in relation to each contractual arrangement listed in template RT.02.01 with regard to: <ul style="list-style-type: none"> <li>(i) the ICT services included in the scope of the arrangement;</li> <li>(ii) the functions of the financial entities supported by those ICT services;</li> <li>(iii) other important information in relation to the specific ICT services provided (e.g. notice period, law governing the arrangement, etc.).</li> </ul> This template will enable ESAs and CAs to further understand the features of the service provision subject to the reported contractual arrangements.
RT.05.01	ICT third-party service providers	Objective of this template is to list and provide general information to enable the identification of: <ul style="list-style-type: none"> <li>(i) the direct ICT third-party service providers;</li> <li>(ii) the subcontractors.</li> </ul>
RT.05.02	ICT service supply chains	Objective of this template is to identify and link one to another the ICT third-party service providers that are part of one ICT service supply chain <sup>3</sup> .

<sup>3</sup> The ICT service supply chain shall link the ICT service providers (including intragroup service providers) as well as subcontractors supporting a critical or important function or material parts thereof.

Template Code	Template Name	Short Description
		<p>Financial entities shall identify and rank the ICT third-party service providers for each ICT service included in the scope of each contractual arrangement.</p> <p>Example: a financial entity has a contractual arrangement with an ICT third-party service provider (say, ICT third-party service provider X) to receive two specific ICT services (say ICT service A and ICT service B) and the service provider makes use of a subcontractor (say, ICT third-party service provider Y) to provide one of these services (say ICT service B).</p> <ul style="list-style-type: none"> <li>▪ In relation to ICT service A, the ICT service supply chain is composed of one ICT third-party service provider, ICT third-party service provider X, which will be given 'rank' 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>▪ In relation to ICT service B, the ICT service supply chain is composed of two ICT third-party service providers:                         <ul style="list-style-type: none"> <li>(i) ICT third-party service provider X, which will be given 'rank' 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>(ii) ICT third-party service provider Y, which will be given 'rank' 2 in the template. ICT third-party service provider Y is a subcontractor.</li> </ul> </li> </ul>
RT.05.03	Alternative ICT third-party service providers	<p>Objective of this template is to request financial entity to report basic information on the ICT third-party service provider(s) identified as alternative provider(s), either already under contract or only considered by the financial entity.</p> <p>In case the direct ICT third-party service provider is an ICT intra-group service provider, financial entities shall not report 'alternative direct ICT third-party service providers'.</p>
RT.06.01	Functions identification	<p>Objective of this template is to identify and provide information on the functions of the financial entity.</p> <p>Within the information to be provided within this template, financial entities shall include a unique identifier, the 'function identifier' for each combination of licenced activity and function.</p>

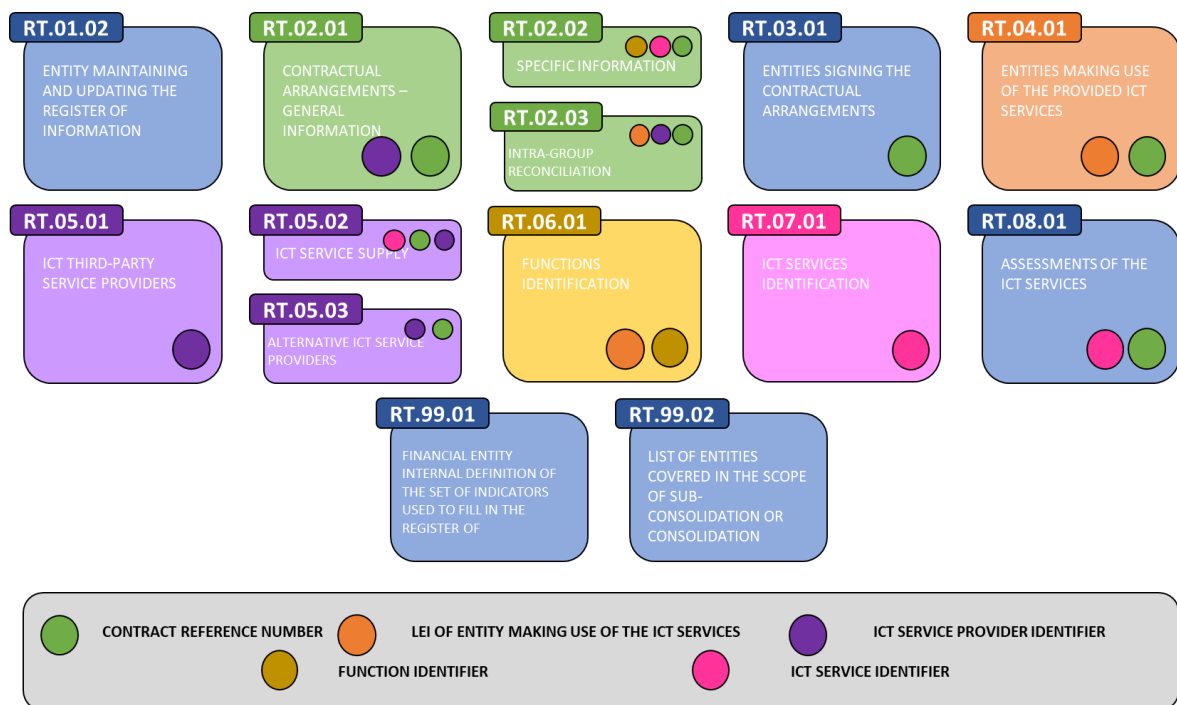
Template Code	Template Name	Short Description
		Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique 'function identifiers' for the same function Y (e.g. Sales) performed for activity A and activity B.
RT.07.01	ICT services identification	Objective of this template is to identify the ICT services provided by ICT third-party service providers to the financial entity through the creation of a 'ICT service identifier'.
RT.08.01	Assessments of the ICT services	Objective of this template is to capture several information in relation to the assessment on the ICT services performed by the financial entity (e.g. substitutability, date of last audit, etc.).
RT.99.01	Definitions from Entities making use of the ICT Services	Objective of this template is to capture entity-internal explanations, meanings and definitions of the closed set of indicators used in the register of information. For example, in template RT.08.01 financial entities shall provide an indication of the impact of discontinuation of the ICT services by using a closed set of options (low, medium, high). In template RT99.01 the financial entity needs to specify the meaning of those options.

## Register of information at sub-consolidated and consolidated level

- The register of information at entity level is composed of 14 templates. 10 out of 14 templates are the same templates used by financial entities at entity level. The remaining 4 templates are to be used to link the registers of information of the various entities in scope of the group and to ensure there is no double counting.

Illustration 2 below shows the relational structure of the templates highlighting the relational keys used to link one template to another.

### Illustration 2: Structure of the register of information at (sub)consolidated level



- Also in case of the templates at (sub)consolidated level, except for templates RT.01.01, RT.99.01, and RT.99.02, all templates of the register of information are linked to one another by using relational keys. In case of registers of information maintained at (sub)consolidated level, the different relational keys used are the same four used for the register of information at entity level *plus* the LEI code of the entity making use of the ICT services.

Table 2 provides the objective of the templates in the register of information at (sub)consolidated level.

**Table 2: Objectives of each template of the register of information at (sub)consolidated level**

Template Code	Template Name	Short Description
RT.01.02	Financial entity maintaining the register of information	Objective of this template is to identify the financial entity maintaining and updating the register of information at sub-consolidated or consolidated level.

Template Code	Template Name	Short Description
RT.02.01	Contractual Arrangements – General Information	<p>Objective of this template is to list all contractual arrangements between the entities signing and the direct ICT third-party service providers.</p> <p>For each contractual arrangement between the entity signing and the direct ICT third party service provider, the financial entity maintaining and updating the register of information shall assign a unique ‘contractual arrangement reference number’ to identify unambiguously the contractual arrangement itself.</p>
RT.02.02	Contractual Arrangements – specific information	<p>Objective of this template is to provide details in relation to each contractual arrangement listed in template RT.02.01 with regard to:</p> <ul style="list-style-type: none"> <li>(i) the ICT services included in the scope of the arrangement;</li> <li>(ii) the functions of the financial entities supported by those ICT services;</li> <li>(iii) other important information in relation to the specific ICT services provided (e.g. notice period, law governing the arrangement, etc.).</li> </ul> <p>This template will enable ESAs and CAs to further understand the features of the service provision subject to the reported contractual arrangements.</p>
RT.02.03	List of intra-group contractual arrangements and links with contractual arrangements with ICT third-party service provider which are not part of the same group	<p>Objective of this template is to enable the reconciliation of the register of information at entity level once consolidated at group level in case one or more providers in the contractual chain are parts of the same group.</p>
RT.03.01	Entities signing the Contractual Arrangements for receiving ICT service(s) or on behalf of the entities making use of the ICT service(s)	<p>Objective of this template is to provide information on the entities signing the contractual arrangements with the direct ICT third-party service providers on behalf of the entities making use of the ICT services.</p> <p>Within the scope of sub-consolidation and consolidation, the financial entity making use of the ICT services provided is not necessarily the entity signing the contractual arrangement with the ICT third-party service providers.</p>

Template Code	Template Name	Short Description
RT.04.01	Entities making use of the ICT services	<p>Objective of this template is to list all entities making use of the ICT services provided by the ICT third-party service providers.</p> <p>The entities making use of the ICT services shall be either the financial entities in scope or the ICT intra-group service providers.</p>
RT.05.01	ICT third-party service providers	<p>Objective of this template is to list and provide general information to enable the identification of:</p> <ul style="list-style-type: none"> <li>(iii) the direct ICT third-party service providers;</li> <li>(iv) the subcontractors.</li> </ul>
RT.05.02	ICT service supply chains	<p>Objective of this template is to identify and link to one another the ICT third-party service providers, which are part of the same ICT service supply chain.</p> <p>Financial entities shall identify and rank the ICT third-party service providers for each ICT service included in the scope of each contractual arrangement.</p> <p>Example: a financial entity has a contractual arrangement with an ICT third-party service provider (say, ICT third-party service provider X) to receive 2 specific ICT services (say ICT service A and ICT service B) and the service provider makes use of a subcontractor (say, ICT third-party service provider Y) to provide one of these services (say ICT service B).</p> <ul style="list-style-type: none"> <li>▪ In relation to ICT service A, the ICT service supply chain is composed of one ICT third-party service provider, ICT third-party service provider X, which will be given 'rank' 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>▪ In relation to ICT service B, the ICT service supply chain is composed of two ICT third-party service providers:                             <ul style="list-style-type: none"> <li>(i) ICT third-party service provider X, which will be given 'rank' 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>(ii) ICT third-party service provider Y, which will be given 'rank' 2 in the template. ICT third-party service provider Y is a subcontractor.</li> </ul> </li> </ul>

Template Code	Template Name	Short Description
		All ICT third-party service providers belonging to the same ICT service supply chain share the same 'contractual arrangement reference number' as referred to in template RT.02.01 and ICT service identifier as referred to in template RT.07.01.
RT.05.03	Alternative ICT third-party service providers	Objective of this template is to request financial entities to report basic information on the alternative ICT third-party service provider(s) identified by the financial entities as alternative provider(s), either already under contract or only considered by the financial entity. In case the direct ICT third-party service provider is an ICT intra-group service providers, financial entities shall not report 'alternative direct ICT third-party service providers'.
RT.06.01	Functions identification	Objective of this template is to identify and provide information on the functions of the financial entities in the scope of sub-consolidation or consolidation. In the information to be provided within this template, financial entities shall include a unique identifier, the 'function identifier' for each combination of a financial entity LEI, licenced activity and function. Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique 'function identifiers' for the same function Y (e.g. Sales) performed for activity A and activity B.
RT.07.01	ICT services identification	Objective of this template is to identify through the creation of an 'ICT service identifier' the ICT services provided by ICT third-party service providers to the 'entities making use of the ICT services' when the ICT service is not listed in Annex III.
RT.08.01	Assessments of the ICT services	Objective of this template is to capture information in relation to the risk assessment on the ICT services (e.g. substitutability, date of last audit, etc.).
RT99.01	Definitions from Entities making use of the ICT Services	Objective of this template is to capture entity-internal explanation, meaning and definitions of the closed set of indicators used in the register of information. For example, in template RT.08.01 financial entities shall provide an indication of the impact of discontinuation of the ICT services by using a closed set of options (low, medium, high). In template RT99.01 the financial entity needs to specify the meaning of those options.

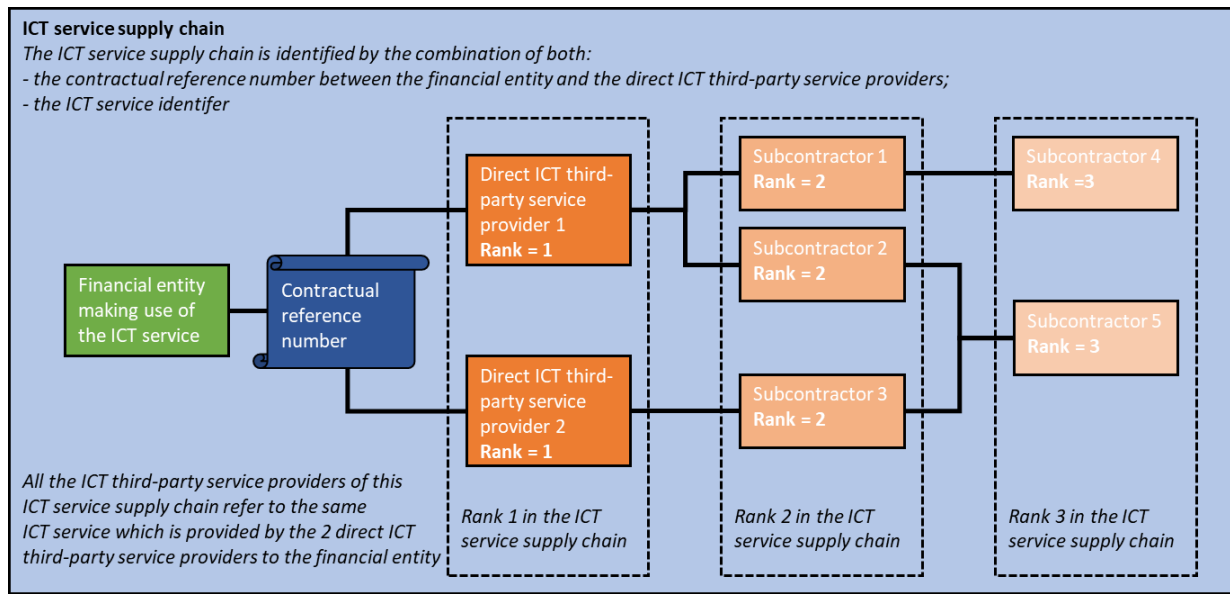


Template Code	Template Name	Short Description
RT99.02	List of financial entities within the scope of sub-consolidation and consolidation	Objective of this template is to list all the financial entities within the scope of sub-consolidation and consolidation.

## ICT service supply chain

7. Another key objective of the register of information as described in paragraph 4 is to capture the ICT service supply chain. As described above, Template RT.05.02 aims at fulfilling this specific objective. Illustration 3 provides an illustrative and simplified example of an ICT service supply chain.

### Illustration 3: Example of an ICT service supply chain



8. To acquire a clear and precise visualisation of an ICT service supply chain in the register of information, the following information is required:
- the contractual arrangement reference number between the FE and the first ICT third-party service provider(s) in the ICT service supply chain (direct ICT third-party service provider) which shall be unique and common for all the elements of a same ICT service supply chain<sup>4</sup>;
  - The ICT service identifier, which is common for all the elements of the same ICT service supply chain<sup>5</sup>;
  - The rank of each ICT third-party service provider, which is part of the ICT service supply chain, starting from the direct ICT third-party service providers (at rank 1) up to the last material subcontractor in the ICT service supply chain;
  - The link between all ICT-third party service providers, which are part of the same ICT service supply chain (the provider and receiver of ICT services).

<sup>4</sup> The contract reference number is defined by the FE in Template RT.02.01

<sup>5</sup> The ICT service identifier is defined by the FE in Template RT.07.01

## 4. Next steps

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9. The consultation period will run from 19 June 2023 to 11 September 2023. The final draft ITS will be published after consultation by 16 January 2024.

## 5. Draft implementing technical standards

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### COMMISSION IMPLEMENTING REGULATION (EU) .../...

of **XX Month YYYY**

**laying down implementing technical standards with regard to standard templates for the register of information according to Regulation (EU) 2022/2554 of the European Parliament and of the Council**

**(Text with EEA relevance)**

THE EUROPEAN COMMISSION,

Having regard to the Treaty on the Functioning of the European Union,

Having regard to Regulation (EU) 2022/2554 of the European Parliament and of the Council, of 14 December 2022 on digital operational resilience for the financial sector and amending Regulations (EC) No 1060/2009, (EU) No 648/2012, (EU) No 600/2014, (EU) No 909/2014 and (EU) 2016/1011 and, in particular the second subparagraph of Article 28(9) thereof,

**Whereas:**

- (1) Article 28(3) of Regulation (EU) 2022/2554 requires financial entities, as part of their ICT risk management framework, maintain and update at entity level, at sub-consolidated and consolidated levels, a register of information in relation to all contractual arrangements on the use of ICT services provided by ICT Third Party Service Providers (Article 28(3) of DORA).
- (2) In this regard, Article 28(9) of the Regulation (EU) 2022/2554 mandates the ESAs to develop draft implementing technical standards (“Regulation”) to establish the standard templates for the purposes of the register of information, including information that is common to all contractual arrangements on the use of ICT services.
- (3) This Regulation shall be read taking into account the threefold purpose of the register of information: (i) the register of information is part of the ICT risk management framework of financial entities in accordance with Article 28(1); (ii) the register of information enables the effective supervision of financial entities’ compliance with the Regulation (EU) 2022/2554 in accordance to in Article 28(3) of Regulation (EU) 2022/2554, including (iii) the designation of critical ICT third-party service providers at Union level by the European Supervisory Authorities in the context of the oversight framework according to Chapter V, Section II of Regulation (EU) 2022/2554.
- (4) Financial entities are expected to use the common templates for the register of information when setting their register of information at entity, sub-consolidated, and

consolidated level. As part of the implementation of the templates introduced by this Regulation, financial entities should complement the information reported in those templates by tailoring them to their internal and entity risk management purposes, including ICT and third-party risk management purposes.

- (5) Pursuant to Article 28(1)(b) of Regulation (EU) 2022/2554, the ICT third-party risk management frameworks of financial entities take into account the nature, scale, complexity and importance of ICT-related dependencies, as well as the risks arising from the use of ICT services provided by ICT third-party service providers. This should be done taking into account the criticality or importance of the service, process or function and the potential impact on the continuity and availability of financial services and activities, at entity and at group level.
- (6) Union financial services sectoral specific laws contain certain rules on outsourcing, which have been further detailed by the ESAs through the development of guidelines containing the expectation for some financial entities to record specific information on their outsourcing arrangements, in some cases also in the form of registers, as part of their outsourcing risk management. In the recent years, several National and European Competent Authorities performed data collection of information included in such registers as part of their supervision of financial entity compliance to the outsourcing requirements.
- (7) Since financial entities shall maintain and update the register of information at entity, sub-consolidated and consolidated level in accordance with Article 28(3) of Regulation (EU) 2022/2554, considering the purposes set out above, and leveraging on the lessons learned from the different exercise of data collection of outsourcing registers as described above, the templates established by this Regulation are designed in a technology-neutral manner building up on open tables (i.e. tables with a predefined number of column but an indefinite number of rows). In addition, the templates are linked to one another by using different specific keys to form a relational structure between them. Furthermore, to ensure clarity, readability and comparability of the register of information, this Regulation provides for two distinct, but related, sets of templates: the first one to be maintained and updated by financial entities at entity level and the second one to be maintained and updated at sub-consolidated and consolidated level.
- (8) In line with Article 30(1) of the Regulation (EU) 2022/2554, in order to receive any type of ICT services from an ICT third-party service provider, including from ICT intra-group service providers, financial entities negotiate a written contract with the ICT third-party service provider. In case of groups, ICT intra-group service providers may arrange a contract with ICT third-party providers external to the group to provide ICT services to one or more financial entities of the group. In order to capture the full ICT service supply chain under such practice, financial entities maintaining the register of information at entity level report both information on the contractual arrangement with their ICT intra-group service provider and on the arrangement stipulated by the ICT intra-group service provider and the ICT third-party providers external to the group as sub-contractors. In order to manage this and other similar cases, the register of information at sub-consolidated and consolidated level includes a template allowing the reconciliation between the intra-group contracts and the contracts with ICT third-party service providers external to the group.

- (9) The register of information focuses on the operational link between the financial entities and the ICT third-party service providers, including details on the functions of the financial entities supported by the ICT services provided by the ICT third-party service providers. Thus, the contractual arrangement reference numbers always refer to the contractual arrangement between the entity signing the contractual arrangement and the direct ICT third-party provider. For all parties (direct ICT third-party service providers and subcontractors) of the same ICT service supply chain, the register of information always refers to the contract reference number of the first contractual arrangement of the ICT service supply chain, which is the contractual arrangement between the direct ICT third-party service provider and the financial entity.
- (10) In order to enable the Competent Authorities, the Oversight Forum and the ESAs to carry out their duties as stipulated in Regulation (EU) 2022/2554, it is necessary to unambiguously and consistently identify financial entities and ICT third-party service providers both at national and international level. In contrast to national codes or company names, the concept of the legal entity identifier (LEI) of financial entities and ICT third-party service providers allows for such unambiguous identification. Also, the use of LEIs improves the quality and timeliness of aggregated data and reduces the reporting burden for reporting entities. Therefore, when maintaining and updating the register of information financial entities use a valid LEI to identify themselves and their ICT third-party service providers (providing ICT services to them directly or via subcontracting). ICT third-party service providers that are individuals acting in a business capacity could have alternative predefined options to be identified other than using the LEI (in case the latter is not available).
- (11) In order to allow interoperability of the different registers of information within the same group, at national and European level, financial entities should ensure the correctness and consistency of all the data in the register of information over time. In particular, the contractual arrangement reference numbers and the unique identifiers of the financial entities and ICT third-party service providers (i.e. 'LEI') are crucial to ensure such interoperability.
- (12) As each financial entity, including financial entities from the same group, have their own internal taxonomy of functions depending on their specific business models and internal organisations, financial entities should themselves create a function identifier at individual and group level to enable the clear mapping between the functions of the financial entities and the ICT services purchased by the latter.
- (13) Competent Authorities, as described by Article 46 of Regulation (EU) 2022/2554, will use the register of information for the purposes of supervision of financial entities' compliance with Regulation (EU) 2022/2554. The Oversight Forum established pursuant to Article 32 of the Regulation (EU) 2022/2554 will make extensive use of the information included in register of information register of information in the annual process to designate the critical ICT third-party service providers subject to the oversight framework. In order to enable the orderly execution of these activities, the financial entities are expected to be able to provide their Registers of Information to the relevant competent authorities using the defined uniform formats and secure electronic channels. The structure of the templates and the requirements of the data points are designed considering data management and reporting perspectives to ensure consistency and harmonisation by design and avoid burdensome reprocessing of data for reporting purposes.

- (14) The European Supervisory Authorities have conducted open public consultations on the draft implementing technical standards on which this Regulation is based, analysed the potential related costs and benefits and requested the advice of the ESAs' Stakeholder Groups established in accordance with Article 37 of Regulation (EU) No 1093/2010, Article 37 of Regulation (EU) No 1094/2010 and Article 37 of Regulation (EU) No 1095/2010 of the European Parliament and of the Council<sup>6</sup>.

HAS ADOPTED THIS REGULATION:

## CHAPTER I

### SUBJECT MATTER AND DEFINITIONS

#### *Article 1*

##### **Subject matter**

This Regulation lays down implementing technical standards on the standard templates for the purpose of the register of information in relation to all contractual arrangements on the use of ICT services provided by ICT third-party service providers referred to in Article 28(3) of Regulation (EU) 2022/2554.

#### *Article 2*

##### **Definitions**

For the purposes of this Regulation, the following definitions shall apply:

1. 'direct ICT third-party service provider' means an ICT third-party service provider, including ICT intra-group service providers, that signed a contractual arrangement with:
  - a. a financial entity to provide its ICT services directly to that financial entity;
  - b. a financial or a non-financial entity to provide its services indirectly to other financial entities within the same group.

The 'rank' of the direct ICT third-party service provider in the 'ICT service supply chain' is always '1'.

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<sup>6</sup> Regulation (EU) No 1093/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Banking Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/78/EC (OJ L 331, 15.12.2010, p.12-47).

Regulation (EU) No 1094/2010 of the European Parliament and of the Council of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Insurance and Occupational Pensions Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/79/EC (OJ L 331, 15.12.2010, p.48-83).

Regulation (EU) No 1095/2010 of the European Parliament and of the Council of 24 November 2010 establishing a European Supervisory Authority (European Securities and Markets Authority), amending Decision No 716/2009/EC and repealing Commission Decision 2009/77/EC (OJ L 331, 15.12.2010 p. 84-119)

2. ‘subcontractor’ means an ICT third-party service provider, including ICT intra-group service providers, that provides ICT services to another ICT third-party service provider in the same ‘ICT service supply chain’.  
The ‘rank’ of the subcontractor in the ‘ICT service supply chain’ is always higher than ‘1’;
3. ‘ICT service supply chain’ means a sequence of contractual arrangements connected with the ICT service being provided by the direct ICT third-party service provider to the financial entity, starting with the direct ICT-third party service provider which has one or multiple other ICT third-party service providers as counterparties (subcontractors);
4. ‘rank’ means the position or order of an ICT third-party service provider in the ‘ICT service supply chain’. The ‘rank’ assigned to each ICT third-party service provider is any integer higher or equal to ‘1’.

### *Article 3*

#### **Data points requirements**

1. Financial entities maintaining and updating the register of information at entity level, sub-consolidated or consolidated level shall fill-in the templates of the register of information with data using the formats set out in the instructions in Annex I, for register of information at entity level, and Annex II, for register of information at sub-consolidated and consolidated level and in accordance with the following requirements:
  - (a) unless otherwise specified in Annex I and/or Annex II, each template composing the register of information is a table with a predefined number of columns but an indefinite number of rows;
  - (b) when filling-in the register of information financial entities shall complete each data point with a single value. If more than one value is valid for a specific data point, the financial entity shall add an additional row in the corresponding template for each valid value;
  - (c) unless identified as optional in the template-specific instructions in Annex I and/or Annex II, financial entities shall report all data points in the register of information at entity level, sub-consolidated and consolidated level, where applicable. If the data is not applicable, financial entities shall record the string ‘not applicable’;
  - (d) unless otherwise stated in the template-specific instructions in Annex I and/or Annex II, financial entities shall express all the amounts in the same currency used by the financial entity for the preparation of the entity, sub-consolidated or consolidated financial statement respectively;



- (e) when amounts are in a currency other than the currency used for the purposes of maintaining the register of information, financial entities shall convert the amounts into the reporting currency using the same basis of conversion as they use for accounting purposes.

## CHAPTER II

### REGISTER OF INFORMATION AT ENTITY LEVEL

#### *Article 4*

#### **General requirements for maintaining and updating the register of information at entity level**

1. Financial entities that maintain and update the register of information in accordance with Article 28(3) of Regulation (EU) 2022/254 shall ensure that:
  - a. the register of information includes the required information in relation to all the ICT services provided by direct ICT third-party providers;
  - b. the register of information includes information on all the material subcontractors when an ICT service provided by a direct ICT third-party service provider is supporting a critical or important function of the financial entities.
2. Financial entities shall ensure that the information recorded in the register of information is accurate and consistent over time. Financial entities shall promptly correct any errors or discrepancies as soon as such are detected.
3. Financial entities shall update the information contained in register of information on an on-going basis considering all changes to existing contractual arrangements and information in relation to all new contractual arrangements.
4. When establishing the register of information for the first time, financial entities shall include in the register of information all the mandatory information in relation to contractual arrangements in place at that time.
5. Financial entities shall maintain the information in the register of information in relation to contractual arrangements that are terminated for at least 5 years after the termination of the ICT services provision. Furthermore, financial entities shall ensure that the register of information has an audit trail functionality that allows to retrieve changes that significantly affects or are likely to significantly affect the information contained in the register of information for at least the previous 5 years.
6. Financial entities shall ensure that the information contained in the register adhere to the principles of data quality, i.e., accuracy, completeness, consistency, integrity,

uniqueness, and validity. Aggregated information shall be comparable to information provided in other regulatory or statistical reporting.

7. Financial entities shall use a valid and active legal entity identifier (LEI) to identify their ICT third-party service providers that are legal persons except those who are individuals acting in a business capacity and chose not to procure for themselves a valid LEI.
8. When an ICT service provided by a direct ICT third-party service provider is supporting a critical or important function of the financial entities, financial entities shall ensure through the direct ICT third-party service provider, that, all the material subcontractors, with exception of those who are individuals acting in a business capacity, shall procure and maintain a valid and active legal entity identifier (LEI).

#### *Article 5*

### **Content of the register of information maintained and updated at entity level**

Financial entities shall include at least the following information:

- a. general information on the financial entity maintaining and updating the register of information at entity level as specified in template RT.01.01 and in accordance with the instructions set out in Annex I of this Regulation;
- b. general information on the contractual arrangements as specified in template RT.02.01 and in accordance with the instructions set out in Annex I of this Regulation;
- c. specific information on the contractual arrangements as specified in template RT.02.02, and in accordance with the instructions set out in Annex I of this Regulation;
- d. information on the direct ICT third-party service providers and subcontractors, as specified in template RT.05.01 and in accordance with the instructions set out in Annex I of this Regulation;
- e. information on the identification of functions as specified in template RT.06.01, and in accordance with the instructions set out in Annex I of this Regulation;
- f. information on the identification of ICT services as specified in template RT.07.01 and in accordance with the instructions set out in Annex I of this Regulation;
- g. information on the assessment of the ICT services provided as specified in template RT.08.01 and in accordance with the instructions set out in Annex I of this Regulation;

- h. information on the reconciliation between the internal definitions of the financial entities and the terms included in close lists and taxonomies used when filling in the templates as specified in template RT.99.01 and in accordance with the instructions set out in Annex I of this Regulation.
2. Where relevant for their risk management or contract management purposes, financial entities may include into the register of information additional information not specified in this Regulation in the format that is most appropriate for the purposes of such additional information.

## CHAPTER III

### REGISTER OF INFORMATION ON SUB-CONSOLIDATED AND CONSOLIDATED LEVEL

#### *Article 6*

#### **Responsibility for maintaining and updating register of information at sub-consolidated and consolidated level**

1. In case of groups, all financial entities part of the group shall maintain and update, in addition to their register at entity level, the register of information at sub-consolidated and consolidated level.
2. In order to enable the above, the ultimate parent undertaking as defined in Article 48a(1)(1) of Directive 2013/34/EU shall, define, taking into account the respective applicable financial regulations, the scope of consolidation and sub-consolidation.
3. For the purposes of this Regulation, financial entities shall ensure that the register of information at sub-consolidated and consolidated level encompasses all entities that are financial entities and ICT intra-group service providers in scope of consolidation and sub-consolidation as defined above.

#### *Article 7*

#### **Additional requirements for maintaining and updating the register of information at sub-consolidated and consolidated level**

When maintaining and updating register of information at consolidated and, where relevant at sub-consolidated level, financial entities in addition to the general requirements set out in Article 3 of this Regulation shall ensure the following:

- a. apply *mutatis mutandis* at the level of the scope of sub-consolidation and consolidation the requirements as set in Article 5 of this Regulation;
- b. that the register of information include information in relation to:

- i. all ICT services provided by direct ICT third-party providers to the financial entities and the ICT intra-group service providers within the scope of consolidation, and, where relevant, sub-consolidation;
  - ii. all the material subcontractors when an ICT service provided by a direct ICT third-party service provider is supporting a critical or important function of the financial entities in scope.
- c. that the information recorded in the register of information is accurate and consistent over time with the information maintained and updated in the registers of information at entity level by the entities forming a consolidated or, where relevant, sub-consolidated group. Financial entities shall promptly correct any errors or discrepancies between all affected registers of information maintained by the financial entities within the scope of sub-consolidation and consolidation.

#### *Article 8*

### **Content of the register of information maintained and updated at sub-consolidated and consolidated level**

1. In the register of information maintained at sub-consolidated and consolidated level, financial entities shall include at least the following:
  - a. general information financial entity maintaining and updating the register of information either at sub-consolidated or consolidated level as specified in template RT.01.02 and in accordance with the instructions set out in Annex II of this Regulation;
  - b. general information on the contractual arrangements as specified in template RT.02.01 and in accordance with the instructions set out in Annex II of this Regulation;
  - c. specific information on the contractual arrangements as specified in template RT.02.02 and in accordance with the instructions set out in Annex II of this Regulation;
  - d. information on the links between intra-group contractual arrangements and contractual arrangements with ICT third-party service provider which are not part of the same group to retrieve entities from same ICT service supply chains using the contractual reference numbers when part of the ICT service supply chain is intra-group as specified in template RT.02.03, and in accordance with the instructions set out in Annex II of this Regulation;
  - e. information on the entities signing the contractual arrangements with the direct ICT third-party service providers for receiving ICT services or on behalf of the

- entities making use of the ICT services as specified in template RT.03.01 and in accordance with the instructions set out in Annex II of this Regulation;
- f. information on the financial entities making use of the ICT services provided by the ICT third-party service providers as specified in template RT.04.01 and in accordance with the instructions set out in Annex II of this Regulation;
  - g. information on the ICT third-party service providers, direct ICT third-party service providers and subcontractors, as specified in template RT.05.01 and in accordance with the instructions set out Annex II of this Regulation;
  - h. information on the identification of functions as specified in template RT.06.01 and in accordance with the instructions set out in Annex II of this Regulation;
  - i. information on the identification of ICT services as specified in template RT.07.01 and in accordance with the instructions set out in Annex II of this Regulation;
  - j. general information on the use of the ICT services provided by ICT third-party providers and supporting the functions of the financial entities making use of the ICT services provided as specified in template RT.08.01 and in accordance with the instructions set out in Annex II of this Regulation;
  - k. information on the reconciliation between the internal definitions of the financial entities and the terms included in close lists and taxonomies used when filling in the templates, as specified in template RT.99.01 and in accordance with the instructions set out in of Annex II of this Regulation;
  - l. the list of entities included in the scope of sub-consolidation or consolidation covered in the register of information as specified in template RT.99.02 and in accordance with the instructions set out in of Annex II of this Regulation.
2. Where relevant for their risk management or contract management purposes, financial entities may include into the register of information additional information not specified in this Regulation in the format that is most appropriate for the purposes of such additional information.

## CHAPTER IV

### AVAILABILITY OF THE REGISTER OF INFORMATION

#### *Article 9*

##### **Access of the competent authorities to the Registers of Information**

1. In order to be able to perform their obligations as stated in Article 31(10) of Regulation (EU) 2022/2554 and in accordance with Article 28(3) of the same Regulation, the

competent authorities shall regularly receive the information from the Registers of Information.

2. To facilitate the discharge of the obligation specified in the paragraph 1 the competent authorities shall set out appropriate uniform formats and secure electronic channels.
3. To facilitate the discharge of the obligation specified in paragraph 1, financial entities shall ensure that they:
  - a. have established capability to provide the Registers of Information to the competent authorities in accordance with the requested uniform formats and using the defined secure electronic channels;
  - b. have procured and maintain a valid and active legal entity identifier (LEI).

## CHAPTER V

### FINAL PROVISIONS

#### *Article 10*

#### **Entry into force**

1. This regulation shall enter into force on the twentieth day following that of its publication in the *Official Journal of the European Union*
2. This Regulation shall apply from 17 January 2025.
3. This Regulation shall be binding in its entirety and directly applicable in all Member States.

Done at Brussels,

*For the Commission*  
*The President*

*On behalf of the President*

*[Position]*

## ANNEX I

### Instructions for filling the register of information

#### *Part 1*

#### General instructions

Financial entities maintaining the register of information at entity level shall fill-in the templates of the register of information with data using the formats set out in the instructions in Annex I.

Part 2 of this annex lays down instructions to be followed by financial entities to fill in each column of each template. In order to fill in the information of certain columns, financial entities shall refer to other annexes of this Regulation or other external sources to fill in the templates. In such cases, the reference to the relevant annexes or external sources is indicated in the instructions.

#### List of the templates

Template Code	Template Name	Short Description
RT.01.01	Financial Entity maintaining the register of information	This template identifies the financial entity maintaining the register of information at entity level.
RT.02.01	Contractual Arrangements – General Information	Objective of this template is to list all contractual arrangements between the financial entity and its direct ICT third party service providers.  For each contractual arrangement between the financial entity and the direct ICT third party service provider, the financial entity shall assign a unique ‘contractual arrangement reference number’ to identify unambiguously the contractual arrangement itself.
RT.02.02	Contractual Arrangements – specific information	Objective of this template is to provide details in relation to each contractual arrangement listed in template RT.02.01 with regard to: <ul style="list-style-type: none"> <li>(i) the ICT services included in the scope of the arrangement;</li> <li>(ii) the functions of the financial entities supported by those ICT services;</li> <li>(iii) other important information in relation to the specific ICT services provided (e.g.</li> </ul>

Template Code	Template Name	Short Description
		notice period, law governing the arrangement, etc.).
RT.05.01	ICT third-party service providers	Objective of this template is to list and provide general information to enable the identification of: <ul style="list-style-type: none"> <li>(i) the direct ICT third-party service providers;</li> <li>(ii) the subcontractors.</li> </ul>
RT.05.02	ICT service supply chains	Objective of this template is to identify and link one to another the ICT third-party service providers part of the same ICT service supply chain. <p>Financial entities shall identify and rank the ICT third-party service providers for each ICT service included in the scope of each contractual arrangement.</p> <p>Example: a financial entity has a contractual arrangement with an ICT third-party service provider (say, ICT third-party service provider X) to receive 2 specific ICT services (say ICT service A and ICT service B) and the service provider makes use of a subcontractor (say, ICT third-party service provider Y) to provide one of these services (say ICT service B).</p> <ul style="list-style-type: none"> <li>▪ In relation to ICT service A, the ICT service supply chain is composed by one ICT third-party service provider, ICT third-party service provider X, which will be given ‘rank’ 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>▪ In relation to ICT service B, the ICT service supply chain is composed by two ICT third-party service providers:                             <ul style="list-style-type: none"> <li>(i) ICT third-party service provider X, which will be given ‘rank’ 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>(ii) ICT third-party service provider Y, which will be given ‘rank’ 2 in the template. ICT third-party service provider Y is a subcontractor.</li> </ul> </li> </ul> <p>All ICT third-party service providers belonging to the same ICT service supply chain share the same</p>



Template Code	Template Name	Short Description
		‘contractual arrangement reference number’ as referred in template RT.02.01 and ICT service identifier as referred in template RT.07.01.
RT.05.03	Alternative ICT third-party service providers	<p>Objective of this template is to request financial entities to report basic information on the alternative ICT third-party service provider(s) identified as alternative providers according to Regulation (EU) 2022/2554 and the [Draft RTS on specify the detailed content of the policy in relation to the contractual arrangements on the use of ICT services supporting critical or important functions provided by ICT third-party service providers as mandated by Regulation (EU) 2022/2554], either already under contract or only considered by the financial entity.</p> <p>In case the direct ICT third-party service provider is an ICT intra-group service providers, financial entities shall not report ‘alternative direct ICT third-party service providers’.</p>
RT.06.01	Functions identification	<p>Objective of this template is to identify and provide information on the functions of the financial entity.</p> <p>Within the information to be provided within this template, financial entities shall include a unique identifier, the ‘function identifier’ for each combination of licenced activity and function</p> <p>Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique ‘function identifiers’ for the same function X (e.g. Sales) performed for activity A and activity B.</p>
RT.07.01	ICT services identification	<p>Objective of this template is to identify through the creation of a ‘ICT service identifier’ the ICT services provided by ICT third-party service providers to the financial entity when the ICT service is not listed in Annex III.</p>
RT.08.01	Assessments of the ICT services	<p>Objective of this template is to capture several information in relation to the risk assessment on the ICT services (e.g. substitutability, date of last audit, etc.).</p>

Template Code	Template Name	Short Description
RT.99.01	Definitions from Entities making use of the ICT Services	<p>Objective of this template is to capture entity-internal explanations, meanings and definitions of the closed set of indicators used in the register of information.</p> <p>For example, in template RT.08.01 financial entities shall provide an indication of the impact of discontinuation of the ICT services by using a closed set of options (low, medium, high). In template RT99.01 the financial entity needs to specify the meaning of those options.</p>

*Part 2.*

– **Template-specific instructions**

**1. Instructions to fill in template RT.01.01 — Financial Entity maintaining the register of information**

<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Fill-in Instruction</b>	<b>Fill-in Option</b>
<b>RT.01.01.0010</b>	<b>LEI of the financial entity</b>	Alphanumerical	Identify the financial entity responsible for maintaining the Register on Information using the Legal Entity Identifier (LEI) 20-character, alphanumeric code based on the ISO 17442 standard valid and active at the date of last update of the Register of information (RT.01.01.0050).	Mandatory
<b>RT.01.01.0020</b>	<b>Name of the financial entity</b>	Alphanumerical	Legal name of the financial entity maintaining the Register of information.	Mandatory
<b>RT.01.01.0030</b>	<b>Country of the financial entity</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country where the license or the registration of the entity responsible for maintaining the Register on Information has been issued.	Mandatory
<b>RT.01.01.0040</b>	<b>Type of the entity maintaining the register of information</b>	Closed set of options	Identify the type of the entity using one of the options in the following closed list:  <ol style="list-style-type: none"> <li>1. credit institutions;</li> <li>2. payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366;</li> <li>3. account information service providers;</li> <li>4. electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC;</li> <li>5. investment firms;</li> <li>6. crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets and amending Regulations (EU) No 1093/2010 and (EU) No</li> </ol>	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens; 7. central securities depositories; 8. central counterparties; 9. trading venues; 10. trade repositories; 11. managers of alternative investment funds; 12. management companies; 13. data reporting service providers; 14. insurance and reinsurance undertakings; 15. insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries; 16. institutions for occupational retirement provision; 17. credit rating agencies; 18. administrators of critical benchmarks; 19. crowdfunding service providers; 20. securitisation repositories.	
<b>RT.01.01.0050</b>	<b>Date of last update</b>	Date	Identify the ISO 8601 (yyyy-mm-dd) code of the date of the last update made on the register of information.	Mandatory
<b>RT.01.01.0060</b>	<b>Currency</b>	Currency	Identify the ISO 4217 alphabetic code of the currency used for the preparation of the financial entity's financial statements	Mandatory
<b>RT.01.01.0070</b>	<b>Value of total assets - of the financial entity</b>	Monetary	Monetary value of total assets of the entity making use of the ICT services as reported in the entity's annual financial statement of the year before the date of the last update of the register of information.  Refer to Annex V for the approach to be followed when filling in this column.	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.01.01.0080	<b>Value of the other financial indicator of the financial entity</b>	Monetary	<p>Monetary value of the other financial indicator of the entity making use of the ICT services as reported in the entity's annual financial statement of the year before the date of the last update of the register of information.</p> <p>Refer to Annex V for the approach to be followed when filling in this column.</p>	Mandatory

## 2. Instructions to fill in template RT.02.01 — Contractual Arrangements – General Information

Financial entities shall identify a ‘contractual arrangement reference number’ in relation to each contractual arrangement in scope of the register of information. In case the ICT third-party service provider is making use of subcontractors, financial entities shall not include in the register of information a ‘contractual arrangement reference number’ for the arrangements between the ICT third-party service providers and their subcontractors.

The ‘contractual arrangement reference number’ shall refer to the following type of contractual arrangements:

- i. any kind of standalone arrangements.
- ii. any kind of ‘overarching or framework arrangements’ such as master and framework arrangements;
- iii. any kind of ‘subsequent or associated arrangements’ such as implementing arrangements, subservice arrangements, amendments, order forms;

The contract reference number does not refer to any kind of service level agreement subordinated to any of the above mentioned types of contractual arrangements.

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
<b>RT.02.01.0010</b>	<b>Contractual arrangement reference number</b>	Alphanumerical	<p>Identify the contractual arrangement between the financial entity and the direct ICT third-party service provider.</p> <p>The contractual arrangement reference number is the internal reference number of the contractual arrangement assigned by the financial entity.</p> <p>The contractual arrangement reference number shall be unique and consistent over time at entity, sub-consolidated and consolidated level, where applicable.</p> <p>The contractual arrangement reference number shall be used consistently across all templates of the register of information when referring to the same contractual arrangement.</p>	Mandatory
<b>RT.02.01.0020</b>	<b>Type of contractual arrangement</b>	Closed set of options	<p>Identify the type of contractual arrangement by using one of the options in the following closed list:</p> <ol style="list-style-type: none"> <li>1. Standalone arrangement</li> <li>2. Overarching arrangement</li> </ol>	Mandatory

**EN**

**EN**

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
			3. Subsequent or associated arrangement	
<b>RT.02.01.0030</b>	<b>Overarching contractual arrangement reference number</b>	Alphanumerical	Not applicable if the contractual arrangement is the ‘overarching contractual arrangement’ or a ‘standalone arrangement’. In the other cases, report the contractual arrangement reference number of the overarching arrangement, which shall be equal to value as reported in the column RT.02.01.0010 when reporting the overarching contractual arrangement.	Mandatory
<b>RT.02.01.0041</b>	<b>Annual expense or estimated cost of the contractual arrangement for the past year</b>	Monetary	<p>Annual expense or estimated cost (or intragroup transfer) of the ICT service arrangement for the past year.</p> <p>In case of an overarching arrangement with subsequent or associated arrangements, the sum of the annual expenses or estimated costs reported for the overarching arrangement and the subsequent or associated arrangements should be equal to the total expenses or estimated costs for the overall contractual arrangement. This means, there should be no repetition or duplication of annual expenses or estimated costs. The following cases should be reflected:</p> <p>(a) if the annual expenses or estimate costs are not determined at the level of the overarching arrangement (i.e. they are 0), the annual expenses or estimated costs should be reported at the level of each subsequent or associated arrangements.</p> <p>(b) if the annual expenses or estimated costs cannot be reported for each of the subsequent or associated arrangements, the total annual expense or estimated cost should be reported at the level of the overarching arrangement.</p>	Mandatory

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Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
			<p>(c) if there are annual expenses or estimated costs related to each level of the arrangement, i.e. overarching and subsequent or associated, and this information is available, the annual expenses or estimated costs shall be reported without duplication at each level of the contractual arrangement.</p>	
<b>RT.02.01.0042</b>	<b>Budget of the contractual arrangement for the upcoming year</b>	Monetary	<p>Budget or estimated cost or budget of the contractual arrangement for the upcoming year.</p> <p>The annual expense or estimated cost shall be expressed in the currency reported in RT.01.01.0060.</p> <p>In case of an overarching arrangement with subsequent or associated arrangements, the sum of the budget reported for the overarching arrangement and the subsequent or associated arrangements should be equal to the total budget for the overall contractual arrangement. This means, there should be no repetition or duplication of budget. The following cases should be reflected:</p> <p>(a) if the budget is not determined at the level of the overarching arrangement (i.e. they are 0), the budget should be reported at the level of each subsequent or associated arrangements.</p> <p>(b) if the budget cannot be reported for each of the subsequent or associated arrangements, the total budget should be reported at the level of the overarching arrangement.</p>	Mandatory



Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
			(c) if there is a budget related to each level of the arrangement, i.e. overarching and subsequent or associated, and this information is available, the budget shall be reported without duplication at each level of the contractual arrangement.	
<b>RT.02.01.0050</b>	<b>Approval from the management body</b>	[Yes/No]	Indicate if the specific arrangement was subject to management body approval as defined in Article 3(30) of Regulation (EU) 2022/2554 using one of the options in the following closed list: 1. Yes 2. No	Mandatory
<b>RT.02.01.0060</b>	<b>LEI of the ICT third-party service provider</b>	Alphanumerical	<b>As reported in RT.05.01.0010</b>  Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the LEI	Mandatory
<b>RT.02.01.0071</b>	<b>Other code to identify the ICT third-party service provider</b>	Alphanumerical	<b>As reported in RT.05.01.0021</b>  Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the other code	Mandatory
<b>RT.02.01.0072</b>	<b>Country of issuance of the other code to identify the ICT third-party service provider</b>	Country	<b>As reported in RT.05.01.0022</b>  Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the country of issuance of the other code	Mandatory
<b>RT.02.01.0073</b>	<b>Type of other code to identify</b>	Closed set of options	<b>As reported in RT.05.01.0023</b>	Mandatory

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
	<b>the ICT third-party service provider</b>		Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the type of other code	

### 3. Instructions to fill in template RT.02.02 — Contractual Arrangements – Specific information

Financial entities shall maintain this template at the maximum level of granularity possible. In order to do so, in case the contractual arrangement includes multiple ICT services supporting multiple functions, use as many rows as the elements in the matrix resulting combining the ICT services covered in the contractual arrangement and the financial entity’s functions.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.02.02.0010	Contractual arrangement reference number	Alphanumerical	As reported in RT.02.01.0010	Mandatory
RT.02.02.0020	Function identifier	Alphanumerical	As defined by the financial entity in RT.06.01.0010	Mandatory
RT.02.02.0030	ICT services identifier	Alphanumerical	As defined by the financial entity in RT.07.01.0010	Mandatory
RT.02.02.0040	Start date of the contractual arrangement	Date	Identify the date of entry into force of the contractual arrangement as stipulated in the contractual arrangement using the ISO 8601 (yyyy–mm–dd) code	Mandatory
RT.02.02.0050	Date of next renewal of the contractual arrangement	Date	Identify the date of contract renewal as stipulated in the contractual arrangement or as planned by the parties using the ISO 8601 (yyyy–mm–dd) code. If the contractual arrangement is indefinite, it shall be filled in with ‘9999-12-31’.	Mandatory
RT.02.02.0060	End date of the contractual arrangement	Date	Identify the end date as stipulated in the contractual arrangement using the ISO 8601 (yyyy–mm–dd) code. If the contractual arrangement is indefinite, it shall be filled in with ‘9999-12-31’. If the contractual arrangement has been terminated on a date different than the end date, this shall be filled in with the termination date.	Mandatory
RT.02.02.0070	Reason of the termination or ending of the contractual arrangement	Closed set of options	In case the contractual arrangement has been terminated or it is ended, identify the reason of the termination or ending of the contractual arrangements using one of the options in the following closed list:	Mandatory if the contractual arrangement is terminated

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<ol style="list-style-type: none"> <li>1. Termination not for cause. The contractual arrangement has expired/ended and has not been renewed by any of the party;</li> <li>2. Termination for cause. The contractual arrangement has been terminated, being the ICT third-party service provider in a breach of applicable law, regulations or contractual provisions</li> <li>3. Termination for cause. The contractual arrangement has been terminated, due to impediments of the ICT third-party service provider capable of altering the supported function are identified;</li> <li>4. Termination for cause: The contractual arrangement has been terminated due to weaknesses of the ICT third-party provider regarding the management and security of sensitive data or information of any of the counterparty;</li> <li>5. Termination following a request by any Authority. The contractual arrangement has been terminated following a request by a Competent Authority.</li> <li>6. Other. The contractual arrangement has been terminated by any of the party for any reason different from the above.</li> </ol>	
<b>RT.02.02.0080</b>	<b>Notice period for the financial entity</b>	Integer	Identify the notice period for terminating the contractual arrangement by the financial entity in a business-as-usual case. The notice period shall be expressed as number of calendar days from the receipt of the counterparty of the request to terminate the ICT service.	Mandatory
<b>RT.02.02.0090</b>	<b>Notice period for the ICT third-party service provider</b>	Integer	Identify the notice period for terminating contractual arrangement by the direct ICT third-party service provider in a business-as-usual case. The notice period shall be expressed as number of calendar days from the receipt of the counterparty of the request to terminate the ICT service.	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.02.02.0100	Country of the governing law of the contractual arrangement	Country	Identify the country of the governing law of the contractual arrangement using the ISO 3166–1 alpha–2 code.	Mandatory
RT.02.02.0110	Country of provision of the ICT services	Country	Identify the country of provision of the ICT services using the ISO 3166–1 alpha–2 code.	Mandatory
RT.02.02.0121	Storage of data	[Yes/No]	Is the ICT service related to (or foresees) storage of data?  One of the options provided in the following closed list:  1. Yes 2. No	Mandatory
RT.02.02.0122	Location of the data at rest (storage)	Country	Identify the country of location of the data at rest (storage) using the ISO 3166–1 alpha–2 code.	Mandatory if 'Yes' is reported in RT.02.02.0121
RT.02.02.0123	Location of management of the data (processing)	Country	Identify the country of location of management of the data (processing) using the ISO 3166–1 alpha–2 code.	Mandatory if the service is based on or foresees data processing
RT.02.02.0130	Sensitiveness of the data stored by the ICT third-party service provider	Closed set of options	Identify the level of sensitiveness of the data stored or processed by the ICT third-party service provider using one of the options provided in the following closed list:  1. Low 2. Medium	Mandatory if the ICT third-party service provider stores data

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>3. High</p> <p>The most sensitive data take precedence: e.g. if both ‘Medium’ and ‘High’ apply, then ‘High’ shall be selected.</p>	
<b>RT.02.02.0140</b>	<b>Are customers data stored or processed by the ICT third-party service provider?</b>	[Yes/No]	<p>Identify if customers data is stored or processed by the ICT third-party service provider using one of the options in the following closed list:</p> <p>1. Yes 2. No</p>	Mandatory if the ICT third-party service provider processes or stores data
<b>RT.02.02.0150</b>	<b>Level of reliance on the ICT service supporting the critical or important function</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <p>1. Not significant 2. Low reliance: in case of disruption of the ICT services, the supported functions would not be significantly impacted (no interruption, no important damage) or disruption can be resolved quickly and with minimal impact on the function/s supported 3. Material reliance: in case of disruption of the ICT services, the supported functions would be significantly impacted if the disruption lasts more than few minutes/few hours, and the disruption may engender damages, but still manageable 4. Full reliance: in case of disruption of the ICT services, the supported functions would be immediately and severely interrupted/damaged, for a long period</p>	Mandatory if the function supported is critical or important

#### 4. Instructions to fill in template RT.05.01 — ICT third-party service providers

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.01.0010	<b>LEI of the ICT third-party service provider</b>	Alphanumerical	Identify the ICT third-party service provider using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory if the ICT third-party service provider is a legal person
RT.05.01.0021	<b>Other code to identify the ICT third-party service provider</b>	Alphanumerical	Other code to identify the ICT third-party service provider	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
RT.05.01.0022	<b>Country of issuance of the other code to identify the ICT third-party service provider</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country of issuance of the other code to identify the ICT third-party service provider	Mandatory if RT.05.01.0021 is reported
RT.05.01.0023	<b>Type of other code to identify the ICT third-party service provider</b>	Closed set of options	Type of the other code to identify the ICT third-party service provider  One of the options in the following closed list shall be used:  1. Corporate registration number 2. VAT number 3. Passport Number 4. National Identity Number	Mandatory if RT.05.01.0021 is reported

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.01.0030	Name of the ICT third-party service provider	Alphanumerical	Legal name of the ICT third-party service provider	Mandatory
RT.05.01.0040	Type of person of the ICT third-party service provider	Closed set of options	One of the options in the following closed list shall be used:  1. Legal person 2. Individual acting in a business capacity  Providing the LEI is mandatory when the ICT third-party service provider is a legal person.	Mandatory
RT.05.01.0050	Country of the ICT third-party service provider's headquarters	Country	Identify the ISO 3166–1 alpha–2 code of the country in which the headquarters of ICT third-party service provider are located.	Mandatory
RT.05.01.0060	Registered address of the ICT third-party service provider	Alphanumerical	Registered address of the ICT third-party service provider as stipulated in the contractual arrangement.	Optional
RT.05.01.0070	Business alliance	Closed set of options	One of the options in the following closed list shall be used:  1. The ICT third-party service provider is not part of an alliance; 2. The ICT third-party service provider is part of a group; 3. The ICT third-party service provider is a joint-venture; 4. The ICT third-party service provider is a member of an association or a partnership of firms; 5. Other case where the ICT third-party service provider is connected to other legal entities.	Mandatory
RT.05.01.0080	Name of the ICT third-party	Alphanumerical	Name of the ultimate parent undertaking of the ICT third-party service provider.	Mandatory

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Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
	<b>service provider's ultimate parent undertaking</b>		<p>In case the ICT third-party service provider is a joint venture where the owners have equal part, all the owners shall be reported using separate rows.</p> <p>In case the ICT third-party service provider is a member of an association or a partnership of firms, the name of the coordinating firm shall be reported.</p> <p>If the ICT third-party service provider is the ultimate parent undertaking, 'Not applicable' shall be reported.</p>	
<b>RT.05.01.0090</b>	<b>LEI of the ICT third-party service provider's ultimate parent undertaking</b>	Alphanumerical	Identify the ICT third-party service provider's ultimate parent undertaking using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory if RT.05.01.0080 is reported
<b>RT.05.01.0101</b>	<b>Other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Alphanumerical	Other code to identify the ICT third-party service provider's ultimate parent undertaking	Mandatory if RT.05.01.0080 is reported
<b>RT.05.01.0102</b>	<b>Country of issuance of the other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Country	Identify the ISO 3166-1 alpha-2 code of the country of issuance of the other code to identify the ICT third-party service provider's ultimate parent undertaking	Mandatory if RT.05.01.0101 is reported

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.05.01.0103</b>	<b>Name of the identification system of the other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Closed set of options	Name of the identification system of the other code to identify the ICT third-party service provider's ultimate parent undertaking  One of the options in the following closed list shall be used:  1. Corporate registration number 2. VAT number 3. Passport Number 4. National Identity Number	Mandatory if RT.05.01.0101 is reported
<b>RT.05.01.0110</b>	<b>Country of the ICT third-party service provider ultimate parent undertaking's headquarters</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country in which the parent undertaking's headquarters are located	Mandatory
<b>RT.05.01.0120</b>	<b>Is the ICT third-party service provider an ICT intra-group service provider?</b>	[Yes/No]	One of the options in the following closed list shall be used:  1. Yes 2. No	Mandatory

## 5. Instructions to fill in template RT.05.02 — ICT service supply chains

This template aims at identifying and linking one to each other the ICT third-party service providers part of the same ICT service supply chain.

The ICT service supply chain shall include, where applicable:

- (i) all ICT intragroup service providers;
- (ii) all ICT third-party service providers supporting a critical or important function or material parts thereof;
- (iii) in case a ICT intragroup service provider makes use of subcontractors to provide their ICT services to the financial entity, at least the first extra-group ICT third party service provider even if the ICT services provided do not support a critical or important function or material part thereof.

All ICT third-party service providers belonging to the same ICT service supply chain share:

- (i) the same 'contractual arrangement reference number' as referred in template RT.02.01;
- (ii) the same 'ICT service identifier' as referred in template RT.07.01;

Each ICT third-party service providers belonging to the same ICT service supply is assigned with a 'rank' (RT.05.02.0040) to identify its position within the ICT service supply chain. In case multiple ICT third-party service providers have the same position within the same ICT service supply chain, they will be assigned with the same 'rank'. The direct ICT third-party service providers are therefore at rank 1. If the rank is higher than 1, the ICT third-party service providers are subcontractors.

In order to link one to each other the ICT third party service providers belonging to the same ICT service supply chain, for each ICT subcontractor (i.e. where the 'rank' is higher than 1) it is needed to identify the ICT third party service provider recipient of its subcontracted services. The identification of the ICT third party service provider recipient of subcontracted services shall be carry out by using the columns from RT.05.02.0050 to RT.05.02.0070.

For each ICT service supply chain (i.e., a combination of a "contractual arrangement reference number" and an "ICT service identifier"), if there are multiple ICT third-party service providers receiving subcontracted services, all of these service providers shall be reported in separate rows in the template. The same logic applies at each rank of the ICT service supply chain.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.05.02.0010</b>	<b>Contractual reference number</b>	Alphanumerical	<b>As reported in RT.02.01.0010</b>	Mandatory
<b>RT.05.02.0020</b>	<b>ICT service identifier</b>	Alphanumerical	<b>As reported in RT.07.01.0010</b>	Mandatory

<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Fill-in Instruction</b>	<b>Fill-in Option</b>
<b>RT.05.02.0030</b>	<b>LEI of the ICT third-party service provider</b>	Alphanumerical	<b>As reported in RT.05.01.0010</b>	Mandatory if the ICT third-party service provider is a legal person
<b>RT.05.02.0041</b>	<b>Other code to identify the ICT third-party service provider</b>	Alphanumerical	<b>As reported in RT.05.01.0021</b>	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
<b>RT.05.02.0042</b>	<b>Country of issuance of the other code to identify the ICT third-party service provider</b>	Country	<b>As reported in RT.05.01.0022</b>	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
<b>RT.05.02.0043</b>	<b>Type of other code to identify the ICT third-party service provider</b>	Closed set of options	<b>As reported in RT.05.01.0023</b>	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
<b>RT.05.02.0050</b>	<b>Name of the ICT third-party service provider</b>	Alphanumerical	<b>As reported in RT.05.01.0030</b>	Mandatory
<b>RT.05.02.0060</b>	<b>Rank</b>	Integer	If the ICT third-party service provider is signing the contractual arrangement with the financial entity, it is considered as a direct ICT	Mandatory

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Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>third-party service provider and the 'rank' to be reported shall be 1;</p> <p>If the ICT third-party service provider is signing the contract with the direct ICT third-party service provider, it is considered as a subcontractor and the 'rank' to be reported shall be 2;</p> <p>The same logic apply to all the following subcontractors by incrementing the 'rank' until the last contractor in the ICT service supply chain.</p> <p>In case multiple ICT third-party service providers have the same 'rank' in the ICT service supply chain, financial entities shall report the same 'rank' for all those ICT third-party service providers.</p>	
<b>RT.05.02.0070</b>	<b>LEI of the recipient of sub-contracted ICT services</b>	Alphanumerical	<p>'Not applicable' if the ICT third-party service provider is a direct ICT third-party service provider i.e. at 'rank' <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at 'rank' <math>r = n</math> where <math>n &gt; 1</math>, indicate the 'LEI of the recipient of sub-contracted services' at 'rank' <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at 'rank' <math>r = n</math>.</p> <p>To indicate the 'LEI of the recipient of subcontracted services' use the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard</p>	Mandatory Not applicable for rank 1
<b>RT.05.02.0081</b>	<b>Other code to identify the recipient of sub-contracted ICT services</b>	Alphanumerical	<p>'Not applicable' if the ICT third-party service provider is at contracting rank <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at 'rank' <math>r = n</math> where <math>n &gt; 1</math>, indicate the 'Other code to identify the recipient of sub-contracted service' at 'rank' <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at 'rank' <math>r = n</math>.</p>	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
				personn Not applicable for rank 1
<b>RT.05.02.0082</b>	<b>Country of issuance of other code to identify the recipient of sub-contracted ICT services</b>	Country	<p>‘Not applicable’ if the ICT third-party service provider is at ‘rank’ <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at ‘rank’ <math>r = n</math> where <math>n &gt; 1</math>, indicate the ‘Country of issuance of other code to identify the recipient of sub-contracted services’ at ‘rank’ <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at ‘rank’ <math>r = n</math>.</p> <p>To indicate the ‘Country of issuance of other code to identify the recipient of sub-contracted services’, use the ISO 3166–1 alpha–2 code of the country of issuance of the other code to identify the recipient of sub-contracted services.</p>	Mandatory if RT.05.02.0081 is reported Not applicable for rank 1
<b>RT.05.02.0083</b>	<b>Type of other code to identify the recipient of sub-contracted ICT services</b>	Closed set of options	<p>‘Not applicable’ if the ICT third-party service provider is at ‘rank’ <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at ‘rank’ <math>r = n</math> where <math>n &gt; 1</math>, indicate the ‘Type of other code to identify the ICT third-party service provider recipient of sub-contracted services’ at ‘rank’ <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at ‘rank’ <math>r = n</math>.</p> <p>To indicate the type, one of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Corporate registration number</li> <li>2. VAT number</li> </ol>	Mandatory if RT.05.02.0081 is reported Not applicable for rank 1

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			3. Passport Number 4. National Identity Number	
<b>RT.05.02.0090</b>	<b>Name of the recipient of sub-contracted ICT services</b>	Alphanumerical	‘Not applicable’ if the ICT third-party service provider is at contracting rank $r = 1$ (RT.05.01.0020);  If the ICT third-party service provider is at ‘rank’ $r = n$ where $n > 1$ , indicate the ‘Name of the ICT third-party service provider recipient of sub-contracted services’ at ‘rank’ $r = n - 1$ that subcontracted the ICT service (even partially) to the ICT third-party service provider at ‘rank’ $r = n$ .	Mandatory Not applicable for rank 1

#### 6. Instructions to fill in template RT.05.03 — Alternative direct ICT third-party service providers

When supporting an important or critical function, this template aims at listing alternative direct ICT third-party service providers (not the subcontractors) identified by the financial entity.

In case the direct ICT third-party service provider is an ICT intra-group service providers, financial entities shall not report ‘alternative direct ICT third-party service providers’.

The identification of an alternative service provider is part of the definition of the exit strategy of financial entities from ICT third-party service providers supporting critical or important functions. In principle, for each ICT third-party service provider supporting a critical or important function, the assessment to identify an alternative service provider shall be performed.

Column Code	Column Name	Type	Instruction	Fill-in Option
<b>RT05.03.0010</b>	<b>Contractual arrangement reference number</b>	Alphanumerical	<b>As reported in RT02.01.0010</b>  Identify the contractual reference number where the ICT third-party service providers have been identified by the financial entity making use of the ICT services provided when at least a critical or important function is supported	Mandatory if ‘Yes’ is reported in RT.08.01.0100

Column Code	Column Name	Type	Instruction	Fill-in Option
RT05.03.0020	Function identifier	Alphanumerical	<b>As reported in RT06.01.0010</b>  Function identifier to identify the critical or important function supported by the ICT service provided	Mandatory if 'Yes' is reported in RT.08.01.0100
RT05.03.0030	ICT service identifier	Alphanumerical	<b>As reported in RT07.01.0010</b>  ICT service identifier to identify the ICT service provided	Mandatory if 'Yes' is reported in RT.08.01.0100
RT05.03.0040	LEI of the ICT third-party service provider	Alphanumerical	<b>As reported in RT.05.01.0010</b>	Mandatory if 'Yes' is reported in RT.08.01.0100
RT05.03.0051	Other code to identify the ICT third-party service provider	Alphanumerical	<b>As reported in RT.05.01.0021</b>	Mandatory if the LEI is not available and if 'Yes' is reported in RT.08.01.0100
RT05.03.0052	Country of issuance of the other code to identify the ICT third-party service provider	Country	<b>As reported in RT.05.01.0022</b>	Mandatory if RT05.03.0051 is reported
RT05.03.0053	Type of other code to identify the ICT third-party service provider	Closed set of options	<b>As reported in RT.05.01.0023</b>	Mandatory if RT05.03.0051 is reported



<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Instruction</b>	<b>Fill-in Option</b>
<b>RT05.03.0060</b>	<b>Alternative ICT third-party service provider name</b>	Alphanumerical	Legal name of the alternative ICT third-party service provider	Mandatory if 'Yes' is reported in RT.08.01.0100
<b>RT05.03.0070</b>	<b>Alternative ICT third-party service provider country</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country of the alternative ICT third-party service provider	Mandatory if 'Yes' is reported in RT.08.01.0100

## 7. Instructions to fill in template RT.06.01 — Functions identification

This template aims at identifying and providing information on the functions of the financial entity according to the financial entity’s internal organisation.

Each combination of the two following items shall have a unique function identifier assigned:

- i. ‘Licenced activity’ column RT.06.01.0040
- ii. ‘Function name’ column RT.06.01.0051

Financial entities shall use as many rows as the elements in the matrix resulting combining the two items above to fill-in this template.

Column Code	Column Name	Type	Instruction	Fill-in Option
<b>RT.06.01.0010</b>	<b>Function Identifier</b>	Alphanumerical	<p>The function identifier shall be composed by the letter F (capital letter) followed by an integer (e.g. “F1” for the 1st function identifier and “Fn” for the n<sup>th</sup> function identifier with “n” being an integer).</p> <p>Each combination between ‘Function name’ (RT.06.01.0051) and ‘Licenced activity’ (RT.06.01.0040) shall have a unique function identifier</p> <p>Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique ‘function identifiers’ for the same function X (e.g. Sales) performed for activity A and activity B.</p>	Mandatory
<b>RT.06.01.0020</b>	<b>Licenced activity</b>	Closed set of options	<p>Name of the licenced activities as identified in Annex III for the different type of financial entities.</p> <p>In case the function is not linked to a registered or licenced activity, ‘support functions’ shall be reported.</p>	Mandatory
<b>RT.06.01.0030</b>	<b>Function name</b>	Alphanumerical	Function name according to the financial entity’s internal organisation.	Mandatory
<b>RT.06.01.0051</b>	<b>Nature of the financial entity</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. The financial entity is a branch</li> <li>2. The financial entity is not a branch</li> </ol>	Mandatory

Column Code	Column Name	Type	Instruction	Fill-in Option
RT.06.01.0052	Name of the branch	Alphanumerical	Name of the branch	Mandatory in case ‘the financial entity is a branch’ is selected in RT.06.01.0031
RT.06.01.0053	Country of the branch	Country	Country in which the branch is located with alpha-2 country codes to be used.	Mandatory in case ‘the financial entity is a branch’ is selected in RT.06.01.0031
RT.06.01.0061	Criticality or importance assessment	[Yes/No]	Use this column to indicate whether the function is critical or important according to the financial entity’s assessment. One of the options in the following closed list shall be used:  1. Yes 2. No 3. Assessment not performed	Mandatory
RT.06.01.0062	Reasons for criticality or importance	Alphanumerical	Brief explanation on the reasons to classify the function as critical or important (300 characters maximum)	Optional
RT.06.01.0063	Date of the last assessment of criticality or importance	Date	Identify the ISO 8601 (yyyy–mm–dd) code of the date of the last assessment of criticality or importance in case the function is supported by ICT services provided by ICT third-party service providers. In case the function’s assessment of criticality or importance is not performed, it shall be filled in with ‘9999-12-31’	Mandatory
RT.06.01.0070	Function is considered time-critical	[Yes/No]	Use this column to indicate whether the function is considered time-critical according to the financial entity’s assessment. One of the options in the following closed list shall be used:  1. Yes 2. No	Mandatory

Column Code	Column Name	Type	Instruction	Fill-in Option
			3. Assessment not performed	
<b>RT.06.01.0080</b>	<b>Recovery time objective of the function</b>	Integer	In number of hours. If the recovery time objective is less than 1 hour, '1' shall be reported. In case the recovery time objective of the function is not defined '0' shall be reported.	Mandatory
<b>RT.06.01.0090</b>	<b>Recovery point objective of the function</b>	Integer	In number of hours. If the recovery point objective is less than 1 hour, '1' shall be reported. In case the recovery time objective of the function is not defined '0' shall be reported.	Mandatory
<b>RT.06.01.0100</b>	<b>Impact of discontinuing the function</b>	Closed set of options	Use this column to indicate the impact of discontinuing the function according to the financial entity's assessment. One of the options in the following closed list shall be used  1. Low 2. Medium 3. High 4. Assessment not performed	Mandatory

## 8. Instructions to fill in template RT.07.01 — ICT services identification

Objective of this template is to identify through the creation of a ‘ICT service identifier’ the ICT services provided by ICT third-party service providers to the financial entity in case the ICT service is not listed in Annex III. If the ICT service is listed in Annex III, the ICT service identifier is the one indicated in Annex III.

Each ICT service shall have a unique ‘ICT service identifier’ assigned.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.07.01.0010	ICT service identifier	Alphanumerical	The ICT service identifier shall be composed by the letter S (capital letter) followed by an integer (e.g. “S21” for the 21st ICT service identifier and “Sn” for the n <sup>th</sup> ‘ICT services identifier’ with “n” being an integer where n>20).  If the ICT service is listed in Annex IV the ICT service identifier is the one indicated in Annex IV.	Mandatory
RT.07.01.0021	Name of the ICT service	Alphanumerical	Financial entities shall report the name of the ICT service in case it is not listed in Annex IV.	Mandatory
RT.07.01.0022	Description of the ICT service provided	Alphanumerical	A brief (maximum 300 characters) description of the ICT service provided, in case it is not listed in Annex IV, including the data that are being processed and stored.	Mandatory

## 9. Instructions to fill in template RT.08.01 — Assessment of the ICT services

When supporting an important or critical function, this template aims at further assessing the ICT services provided by ICT third-party service providers to the financial entity.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.08.01.0010	Contractual arrangement reference number	Alphanumerical	As reported in RT.02.01.0010	Mandatory
RT.08.01.0020	LEI of the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0010	Mandatory
RT.08.01.0031	Other code to identify the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0021	Mandatory
RT.08.01.0032	Country of issuance of the other code to identify the ICT third-party service provider	Country	As reported in RT.05.01.0022	Mandatory
RT.08.01.0033	Type of other code to identify the ICT third-party service provider	Closed set of options	As reported in RT.05.01.0023	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.08.01.0040</b>	<b>ICT service identifier</b>	Alphanumerical	<b>As reported in RT.07.01.0010</b>	Mandatory
<b>RT.08.01.0051</b>	<b>Substitutability of the ICT third-party service provider</b>	Closed set of options	<p>Use this column to provide the results of the financial entity’s assessment in relation to the degree of substitutability of the ICT third-party service provider to perform the specific ICT services supporting a critical or important function.</p> <p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Not substitutable</li> <li>2. Highly complex substitutability</li> <li>3. Medium complexity in terms of substitutability</li> <li>4. Easily substitutable</li> </ol>	Mandatory
<b>RT.08.01.0052</b>	<b>Reason if the ICT third-party service provider is considered not substitutable or difficult to be substitutable</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. The lack of real alternatives, even partial, due to the limited number of ICT third-party service providers active on a specific market, or the market share of the relevant ICT third-party service provider, or the technical complexity or sophistication involved, including in relation to any proprietary technology, or the specific features of the ICT third-party service provider’s organisation or activity.</li> <li>2. Difficulties in relation to partially or fully migrating the relevant data and workloads from the relevant ICT third- party service provider to another ICT third-party service provider or to reintegrate them in the financial entity’s operations, due either to significant financial costs, time or other resources that the migration process may entail, or to increased ICT risk or other operational risks to which the financial entity.</li> <li>3. Both abovementioned reasons</li> </ol>	Mandatory in case “not substitutable” or “highly complex substitutability” is selected in RT.08.01.0051

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.08.01.0060</b>	<b>Date of the last audit on the ICT third-party service provider</b>	Date	<p>Use this column to provide the date of the last audit on the specific ICT services provided by the ICT third-party service provider.</p> <p>This column relates to audits conducted by:</p> <ul style="list-style-type: none"> <li>(i) the internal audit department or any other additional qualified personnel of the financial entity,</li> <li>(ii) a joint team together with other clients of the same ICT third-party service provider (“pooled audit”) or</li> <li>(iii) a third party appointed by the supervised entity to audit the service provider.</li> </ul> <p>This column does not relate to the reception or reference date of third-party certifications or internal audit reports of the ICT third-party service provider, the annual monitoring date of the arrangement by the financial entity or the date of review of the risk assessment by the financial entity.</p> <p>This column shall be used to report all types of audits performed by any of the subjects listed above concerning fully or partially the ICT services provided by the ICT third-party service provider.</p> <p>To report the date, the ISO 8601 (yyyy–mm–dd) code shall be used.</p> <p>If no audit has been performed, it shall be filled in with ‘9999-12-31’.</p>	Mandatory
<b>RT.08.01.0070</b>	<b>Existence of an exit plan</b>	[Yes/No]	Use this column to report the existence of an exit plan from the ICT third-party service provider in relation to the specific ICT service provided.	Mandatory



Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol>	
<b>RT.08.01.0080</b>	<b>Possibility of reintegration of the contracted ICT service</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Easy</li> <li>2. Difficult</li> <li>3. Highly complex</li> </ol> <p>In case the ICT service is provided by a ICT third-party service provider that is not an ICT intra-group service provider</p>	Mandatory
<b>RT.08.01.0090</b>	<b>Impact of discontinuing the ICT services</b>	Closed set of options	<p>Use this column to provide the impact for the financial entity of discontinuing the ICT services provided by the ICT third-party service provider according to the financial entity's assessment. One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Low</li> <li>2. Medium</li> <li>3. High</li> <li>4. Assessment not performed</li> </ol>	Mandatory
<b>RT.08.01.0100</b>	<b>Are there alternative ICT third-party service providers identified?</b>	[Yes/No]	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol> <p>In principle, for each ICT third-party service provider supporting a critical or important function, the assessment to identify an alternative service provider shall be performed.</p>	Mandatory

**10. Instructions to fill in template RT99.01 — Definitions from the financial entity**

	RT.99.01.C0010	RT.99.01.C0020	RT.99.01.C0030	RT.99.01.C0040
	Column Code	Column Name	Option	Description/Internal definition of the option
RT.99.01.R0010	RT.02.01.0020	Type of contractual arrangement	1. Standalone arrangement	
RT.99.01.R0020			2. Overarching arrangement	
RT.99.01.R0030			3. Subsequent or associated arrangement	
RT.99.01.R0040	RT.02.02.0130	Sensitiveness of the data stored by the ICT third-party service provider	1. Low	
RT.99.01.R0050			2. Medium	
RT.99.01.R0060			3. High	
RT.99.01.R0070	RT.06.01.0090	Impact of discontinuing the function	1. Low	
RT.99.01.R0080			2. Medium	
RT.99.01.R0090			3. High	
RT.99.01.R0100			4. Assessment not performed	
RT.99.01.R0110	RT.08.01.0031	Substitutability of the ICT third-party service provider	1. Not substitutable	
RT.99.01.R0120			2. Highly complex substitutability	
RT.99.01.R0130			3. Medium complexity in terms of substitutability	
RT.99.01.R0140			4. Easily substitutable	
RT.99.01.R0150	RT.08.01.0080	Possibility of reintegration of the contracted ICT service	1. Easy	
RT.99.01.R0160			2. Difficult	
RT.99.01.R0170			3. Highly complex	
RT.99.01.R0180	RT.08.01.0090	Impact of discontinuing the ICT services	1. Low	
RT.99.01.R0190			2. Medium	
RT.99.01.R0200			3. High	
RT.99.01.R0210			4. Assessment not performed	

## ANNEX II

### **Instructions for filling the register of information at sub-consolidated and consolidated levels**

#### *Part 1*

#### **General instructions**

Financial entities while maintaining and updating the register of information at sub-consolidated and consolidated level, shall fill-in the templates of the register of information with data using the formats set out in the instructions in Annex II.

Part 2 of this annex lays down instructions to be followed by financial entities to fill in each column of each template. In order to fill in the information of certain columns, financial entities shall refer to other annexes of this Regulation or other external sources to fill in the templates. In such cases, the reference to the relevant annexes or external sources is indicated in the instructions.

Financial entities shall include all the following entities within the sub-consolidation and consolidation scope:

- the financial entities making use of the ICT services provided by direct ICT third-party service providers;
- the entities signing the contractual arrangement with the direct ICT third-party service providers.

#### **List of the templates**

<b>Template Code</b>	<b>Template Name</b>	<b>Short Description</b>
RT.01.02	Financial entity maintaining the register of information	This template identifies the financial entity maintaining the register of information at sub-consolidated or consolidated level.
RT.02.01	Contractual Arrangements – General Information	<p>This template lists all contractual arrangements between the entities signing and the direct ICT third party service providers.</p> <p>For each contractual arrangement between the entity signing and the direct ICT third party service provider, the financial entity maintaining the register of information shall assign a unique ‘contractual</p>

Template Code	Template Name	Short Description
		arrangement reference number' to identify unambiguously the contractual arrangement itself.
RT.02.02	Contractual Arrangements – specific information	Objective of this template is to provide details in relation to each contractual arrangement listed in template RT.02.01 with regard to: <ul style="list-style-type: none"> <li>(i) the ICT services included in the scope of the arrangement;</li> <li>(ii) the functions of the financial entities supported by those ICT services;</li> <li>(iii) other important information in relation to the specific ICT services provided (e.g. notice period, law governing the arrangement, etc.).</li> </ul>
RT.02.03	List of intra-group contractual arrangements and links with contractual arrangements with ICT third-party service provider which are not part of the same group	Objective of this template is to enable the reconciliation of the register of information at entity level once consolidated at group level in case one or more providers in the ICT service supply chain are parts of the same group.
RT.03.01	Entities signing the Contractual Arrangements for receiving ICT service(s) or on behalf of the entities making use of the ICT service(s)	Objective of this template is to provide information on the entities signing the contractual arrangements with the direct ICT third-party service providers for the entities making use of the ICT services.  Within the scope of sub-consolidation and consolidation, the financial entity making use of the ICT services provided is not necessarily the entity signing the contractual arrangement with the ICT third-party service providers.
RT.04.01	Entities making use of the ICT services	Objective of this template is to ensure that all entities making uses of the ICT services provided by the ICT third-party service providers are registered in the register of information.

Template Code	Template Name	Short Description
		The entities making use of the ICT services shall be either the financial entities in scope, either the ICT intra-group service providers .
RT.05.01	ICT third-party service providers	Objective of this template is to list and provide general information to enable the identification of: <ul style="list-style-type: none"> <li>(i) the direct ICT third-party service providers;</li> <li>(ii) the subcontractors.</li> </ul>
RT.05.02	ICT service supply chains	Objective of this template is to identify and link one to another the ICT third-party service providers part of the same ICT service supply chain. <p>Financial entities shall identify and rank the ICT third-party service providers for each ICT service included in the scope of each contractual arrangement.</p> <p>Example: a financial entity has a contractual arrangement with an ICT third-party service provider (say, ICT third-party service provider X) to receive 2 specific ICT services (say ICT service A and ICT service B) and the service provider makes use of a subcontractor (say, ICT third-party service provider Y) to provide one of these services (say ICT service B).</p> <ul style="list-style-type: none"> <li>▪ In relation to ICT service A, the ICT service supply chain is composed by one ICT third-party service provider, ICT third-party service provider X, which will be given ‘rank’ 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> <li>▪ In relation to ICT service B, the ICT service supply chain is composed by two ICT third-party service providers: <ul style="list-style-type: none"> <li>(i) ICT third-party service provider X, which will be given ‘rank’ 1 in the template. ICT third-party service provider X is the direct ICT third-party service provider.</li> </ul> </li> </ul>

Template Code	Template Name	Short Description
		<p>(ii) ICT third-party service provider Y, which will be given ‘rank’ 2 in the template. ICT third-party service provider Y is a subcontractor.</p> <p>All ICT third-party service providers belonging to the same ICT service supply chain share the same ‘contractual arrangement reference number’ as referred in template RT.02.01 and ICT service identifier as referred in template RT.07.01.</p>
RT.05.03	Alternative ICT third-party service providers	<p>Objective of this template is to request financial entities to report basic information on the alternative ICT third-party service provider identified as alternative providers according to Regulation (EU) 2022/2554 and the [Draft RTS on specify the detailed content of the policy in relation to the contractual arrangements on the use of ICT services supporting critical or important functions provided by ICT third-party service providers as mandated by Regulation (EU) 2022/2554], either already under contract or only considered by the financial entity.</p> <p>In case the direct ICT third-party service provider is an ICT intra-group service providers, financial entities shall not report ‘alternative direct ICT third-party service providers’.</p>
RT.06.01	Functions identification	<p>Objective of this template is to identify and provide information on the functions of the financial entities in the scope of sub-consolidation or consolidation.</p> <p>Within the information to be provided within this template, financial entity maintaining the register of Information shall include a unique identifier, the ‘function identifier’ for each combination of a financial entity LEI, licenced activity and function.</p> <p>Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique ‘function identifiers’ for the same function X (e.g. Sales) performed for activity A and activity B.</p>

Template Code	Template Name	Short Description
RT.07.01	ICT services identification	Objective of this template is to identify through the creation of a ‘ICT service identifier’ the ICT services provided by ICT third-party service providers to the ‘entities making use of the ICT services’ when the ICT service is not listed in Annex III.
RT.08.01	Assessments of the ICT services	Objective of this template is to capture several information in relation to the risk assessment on the ICT services (e.g. substitutability, date of last audit, etc.).
RT99.01	Definitions from Entities making use of the ICT Services	Objective of this template is to capture entity-internal explanations, meanings and definitions of the closed set of indicators used in the register of information.  For example, in template RT.08.01 financial entities shall provide an indication of the impact of discontinuation of the ICT services by using a closed set of options (low, medium, high). In template RT99.01 the financial entity needs to specify the meaning of those options.
RT99.02	List of financial entities within the scope of sub-consolidation and consolidation	Objective of this template is to list all the financial entities within the scope of sub-consolidation and consolidation .

*Part 2*  
**Template-specific instructions**

**1. Instructions to fill in template RT.01.02 —Financial entity maintaining the register of information**

<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Fill-in Instruction</b>	<b>Fill-in Option</b>
<b>RT.01.02.0010</b>	<b>LEI of the financial entity maintaining the register of information</b>	Alphanumerical	Identify the financial entity maintaining the Register on Information using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update of the Register of information (RT.01.02.0050).	Mandatory
<b>RT.01.02.0020</b>	<b>Name of the financial entity maintaining the register of information</b>	Alphanumerical	Legal name of the financial entity maintaining the register of information.	Mandatory
<b>RT.01.02.0030</b>	<b>Country of the financial entity maintaining the Register of information</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country where the license or the registration of the financial entity maintaining the Register on Information has been issued.	Mandatory
<b>RT.01.02.0040</b>	<b>Type of financial entity maintaining the register of information</b>	Closed set of options	Identify the type of financial entity using one of the options in the following closed list:  1. credit institutions; 2. payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366; 3. account information service providers; 4. electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC;	Mandatory



Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			5. investment firms; 6. crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets, and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens; 7. central securities depositories; 8. central counterparties; 9. trading venues; 10. trade repositories; 11. managers of alternative investment funds; 12. management companies; 13. data reporting service providers; 14. insurance and reinsurance undertakings; 15. insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries; 16. institutions for occupational retirement provision; 17. credit rating agencies; 18. administrators of critical benchmarks; 19. crowdfunding service providers; 20. securitisation repositories. 21. Other financial entity 22. Non-financial entity: ICT intra-group service provider 23. Non-financial entity: Other	
<b>RT.01.02.0050</b>	<b>Date of last update</b>	Date	Identify the ISO 8601 (yyyy-mm-dd) code of the date of the last update made on the Register of information.	Mandatory
<b>RT.01.02.0060</b>	<b>Currency</b>	Currency	Identify the ISO 4217 alphabetic code of the currency used for the preparation of the group or sub-group's financial statements	Mandatory

**2. Instructions to fill in template RT.02.01 — Contractual Arrangements – General Information**

Financial entities shall identify a ‘contractual arrangement reference number’ in relation to each contractual arrangement in scope of the register of information. In case the ICT third-party service provider is making use of subcontractors, financial entities shall not include in the register of information a ‘contractual arrangement reference number’ for the arrangements between the ICT third-party service providers and their subcontractors.

The ‘contractual arrangement reference number’ shall refer to the following type of contractual arrangements:

- i. any kind of standalone arrangements.
- ii. any kind of ‘overarching or framework arrangements’ such as master and framework arrangements;
- iii. any kind of ‘subsequent or associated arrangements’ such as implementing arrangements, subservice arrangements, amendments, order forms;

The contract reference number does not refer to any kind of service level agreement subordinated to any of the above-mentioned types of contractual arrangements.

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
<b>RT.02.01.0010</b>	<b>Contractual arrangement reference number</b>	Alphanumerical	<p>Identify the contractual arrangement between the group subsidiaries and the direct ICT third-party service provider.</p> <p>The contractual arrangement reference number is the internal reference number of the contractual arrangement assigned by the financial entity.</p> <p>The contractual arrangement reference number shall be unique and consistent over time at entity, sub-consolidated and consolidated level, where applicable.</p> <p>The contractual arrangement reference number shall be used consistently across all templates of the register of information when referring to the same contractual arrangement.</p>	Mandatory

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
<b>RT.02.01.0020</b>	<b>Type of contractual arrangement</b>	Closed set of options	Identify the type of contractual arrangement by using one of the options in the following closed list: 1. Standalone arrangement 2. Overarching arrangement 3. Subsequent or associated arrangement	Mandatory
<b>RT.02.01.0030</b>	<b>Overarching contractual arrangement reference number</b>	Alphanumerical	Not applicable if the contractual arrangement is the ‘overarching contractual arrangement’ or a ‘standalone arrangement’. In the other cases, report the contractual arrangement reference number of the overarching arrangement, which shall be equal to value as reported in the column RT.02.01.0010 when reporting the overarching contractual arrangement.	Mandatory
<b>RT.02.01.0041</b>	<b>Annual expense or estimated cost of the contractual arrangement for the past year</b>	Monetary	Annual expense or estimated cost (or intragroup transfer) of the ICT service arrangement for the past year.  The annual expense or estimated cost shall be expressed in the currency reported in RT.01.02.0060.  In case of an overarching arrangement with subsequent or associated arrangements, the sum of the annual expenses or estimated costs reported for the overarching arrangement and the subsequent or associated arrangements should be equal to the total expenses or estimated costs for the overall contractual arrangement. This means, there should be no repetition or duplication of annual expenses or estimated costs. The following cases should be reflected: (a) if the annual expenses or estimate costs are not determined at the level of the overarching arrangement (i.e. they are 0), the annual expenses or estimated costs	Mandatory

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
			<p>should be reported at the level of each subsequent or associated arrangements.</p> <p>(b) if the annual expenses or estimated costs cannot be reported for each of the subsequent or associated arrangements, the total annual expense or estimated cost should be reported at the level of the overarching arrangement.</p> <p>(c) if there are annual expenses or estimated costs related to each level of the arrangement, i.e. overarching and subsequent or associated, and this information is available, the annual expenses or estimated costs shall be reported without duplication at each level of the contractual arrangement.</p>	
<b>RT.02.01.0042</b>	<b>Budget of the contractual arrangement for the upcoming year</b>	Monetary	<p>Budget or estimated cost or budget of the contractual arrangement for the upcoming year.</p> <p>The annual expense or estimated cost shall be expressed in the currency reported in RT.01.02.0060.</p> <p>In case of an overarching arrangement with subsequent or associated arrangements, the sum of the budget reported for the overarching arrangement and the subsequent or associated arrangements should be equal to the total budget for the overall contractual arrangement. This means, there should be no repetition or duplication of budget. The following cases should be reflected:</p>	Mandatory

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
			<p>(a) if the budget is not determined at the level of the overarching arrangement (i.e. they are 0), the budget should be reported at the level of each subsequent or associated arrangements.</p> <p>(b) if the budget cannot be reported for each of the subsequent or associated arrangements, the total budget should be reported at the level of the overarching arrangement.</p> <p>(c) if there is a budget related to each level of the arrangement, i.e. overarching and subsequent or associated, and this information is available, the budget shall be reported without duplication at each level of the contractual arrangement.</p>	
<b>RT.02.01.0050</b>	<b>Approval from the management body</b>	[Yes/No]	<p>Indicate if the specific arrangement was subject to management body approval as defined in Article 3(30) of Regulation (EU) 2022/2554 using one of the options in the following closed list:</p> <ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol>	Mandatory
<b>RT.02.01.0060</b>	<b>LEI of the ICT third-party service provider</b>	Alphanumerical	<p><b>As reported in RT.05.01.0010</b></p> <p>Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the LEI</p>	Mandatory
<b>RT.02.01.0071</b>	<b>Other code to identify the ICT third-party service provider</b>	Alphanumerical	<p><b>As reported in RT.05.01.0021</b></p> <p>Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the other code</p>	Mandatory
<b>RT.02.01.0072</b>	<b>Country of issuance of the</b>	Country	<b>As reported in RT.05.01.0022</b>	Mandatory

Column Code	Column Name	Type	Fill -in Instruction	Fill-in Option
	<b>other code to identify the ICT third-party service provider</b>		Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the country of issuance of the other code	
<b>RT.02.01.0073</b>	<b>Type of other code to identify the ICT third-party service provider</b>	Closed set of options	<b>As reported in RT.05.01.0023</b> Identify the direct ICT third-party service provider that signed the contractual arrangement by reporting the type of other code	Mandatory

### 3. Instructions to fill in template RT.02.02 — Contractual Arrangements – Specific information

Financial entities shall maintain this template at the maximum level of granularity possible. In order to do so, in case the contractual arrangement includes multiple ICT services supporting multiple functions, use as many rows as the elements in the matrix resulting combining the ICT services covered in the contractual arrangement and the financial entity's functions.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.02.02.0010	Contractual arrangement reference number	Alphanumerical	As reported in RT.02.01.0010	Mandatory
RT.02.02.0020	Function identifier	Alphanumerical	As defined by the financial entity in RT.06.01.0010	Mandatory
RT.02.02.0030	ICT services identifier	Alphanumerical	As defined by the financial entity in RT.07.01.0010	Mandatory
RT.02.02.0040	Start date of the contractual arrangement	Date	Identify the date of entry into force of the contractual arrangement as stipulated in the contractual arrangement using the ISO 8601 (yyyy-mm-dd) code	Mandatory
RT.02.02.0050	Date of next renewal of the contractual arrangement	Date	Identify the date of contract renewal as stipulated in the contractual arrangement or as planned by the parties using the ISO 8601 (yyyy-mm-dd) code. If the contractual arrangement is indefinite, it shall be filled in with '9999-12-31'.	Mandatory
RT.02.02.0060	End date of the contractual arrangement	Date	Identify the end date as stipulated in the contractual arrangement using the ISO 8601 (yyyy-mm-dd) code. If the contractual arrangement is indefinite, it shall be filled in with '9999-12-31'. If the contractual arrangement has been terminated on a date different than the end date, this shall be filled in with the termination date.	Mandatory
RT.02.02.0070	Reason of the termination or ending of the contractual arrangement	Closed set of options	In case the contractual arrangement has been terminated or it is ended, identify the reason of the termination or ending of the contractual arrangements using one of the options in the following closed list:	Mandatory if the contractual arrangement is terminated

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<ol style="list-style-type: none"> <li>1. Termination not for cause. The contractual arrangement has expired/ended and has not been renewed by any of the party;</li> <li>2. Termination for cause. The contractual arrangement has been terminated, being the ICT third-party service provider in a breach of applicable law, regulations or contractual provisions</li> <li>3. Termination for cause. The contractual arrangement has been terminated, due to impediments of the ICT third-party service provider capable of altering the supported function are identified;</li> <li>4. Termination for cause: The contractual arrangement has been terminated due to weaknesses of the ICT third-party provider regarding the management and security of sensitive data or information of any of the counterparty;</li> <li>5. Termination following a request by any Authority. The contractual arrangement has been terminated following a request by a Competent Authority.</li> <li>6. Other. The contractual arrangement has been terminated by any of the party for any reason different from the above.</li> </ol>	
<b>RT.02.02.0080</b>	<b>Notice period for the financial entity</b>	Integer	Identify the notice period for terminating the contractual arrangement by the financial entity in a business-as-usual case. The notice period shall be expressed as number of calendar days from the receipt of the counterparty of the request to terminate the ICT service.	Mandatory
<b>RT.02.02.0090</b>	<b>Notice period for the ICT third-party service provider</b>	Integer	Identify the notice period for terminating contractual arrangement by the direct ICT third-party service provider in a business-as-usual case. The notice period shall be expressed as number of calendar days from the receipt of the counterparty of the request to terminate the ICT service.	Mandatory



Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.02.02.0100	Country of the governing law of the contractual arrangement	Country	Identify the country of the governing law of the contractual arrangement using the ISO 3166–1 alpha–2 code.	Mandatory
RT.02.02.0110	Country of provision of the ICT services	Country	Identify the country of provision of the ICT services using the ISO 3166–1 alpha–2 code.	Mandatory
RT.02.02.0121	Storage of data	[Yes/No]	Is the ICT service related to (or foresees) storage of data?  One of the options provided in the following closed list:  1. Yes 2. No	Mandatory
RT.02.02.0122	Location of the data at rest (storage)	Country	Identify the country of location of the data at rest (storage) using the ISO 3166–1 alpha–2 code.	Mandatory if 'Yes' is reported in RT.02.02.0121
RT.02.02.0123	Location of management of the data (processing)	Country	Identify the country of location of management of the data (processing) using the ISO 3166–1 alpha–2 code.	Mandatory if the service is based on or foresees data processing
RT.02.02.0130	Sensitiveness of the data stored by the ICT third-party service provider	Closed set of options	Identify the level of sensitiveness of the data stored or processed by the ICT third-party service provider using one of the options provided in the following closed list:  1. Low 2. Medium	Mandatory if the ICT third-party service provider stores data

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>3. High</p> <p>The most sensitive data take precedence: e.g. if both ‘Medium’ and ‘High’ apply, then ‘High’ shall be selected.</p>	
<b>RT.02.02.0140</b>	<b>Are customers data stored or processed by the ICT third-party service provider?</b>	[Yes/No]	<p>Identify if customers data is stored or processed by the ICT third-party service provider using one of the options in the following closed list:</p> <p>1. Yes 2. No</p>	Mandatory if the ICT third-party service provider processes or stores data
<b>RT.02.02.0150</b>	<b>Level of reliance on the ICT service supporting the critical or important function.</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <p>1. Not significant 2. Low reliance: in case of disruption of the services, the supported functions would not be significantly impacted (no interruption, no important damage) or disruption can be resolved quickly and with minimal impact on the function/s supported 3. Material reliance: in case of disruption of the services, the supported functions would be significantly impacted if the disruption lasts more than few minutes/few hours, and the disruption may engender damages, but still manageable 4. Full reliance: in case of disruption of the services, the supported functions would be immediately and severely interrupted/damaged, for a long period</p>	Mandatory if the function supported is critical or important

**4. Instructions to fill in template RT.02.03 — List of intra-group contractual arrangements and links with contractual arrangements with ICT third-party service provider which are not part of the same group**

Template RT.02.03 aims at identifying entities from same contracting chains using the intra-group contractual reference numbers in cases where the ICT service supply chain contains ICT intra-group service providers, i.e. when in case at least one of the ICT third-party service provider in the ICT service supply chain is an entity belonging to the same group of the entity making use of the ICT services.

<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Fill-in Instruction</b>	<b>Fill-in Option</b>
<b>RT.02.03.0010</b>	<b>LEI of the entity making use of the ICT service(s)</b>	Alphanumerical	Identify the entity making use of the ICT service(s) using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory
<b>RT.02.03.0020</b>	<b>LEI of the entity, in the same sub-consolidation or consolidation scope, providing ICT service(s) to the entity making use of the ICT service(s)</b>	Alphanumerical	Identify the entity, in the same sub-consolidation or consolidation scope, providing ICT service(s) to the entity making use of the ICT service(s) using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory if the entity providing ICT services is in the same sub-consolidation or consolidation scope of the entity making use of the ICT services.
<b>RT.02.03.0030</b>	<b>Contractual arrangement reference number</b>	Alphanumerical	Contractual arrangement reference number between the entity reported in RT.02.03.0010 and the entity reported in RT.02.03.0020  The contractual arrangement reference number shall be unique and consistent over time and across all the group.	Mandatory
<b>RT.02.03.0040</b>	<b>LEI of the direct ICT third-party service</b>	Alphanumerical	Identify the ICT third-party service provider using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO	Mandatory if the ICT third-party service

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
	<b>provider of the entity in RT.02.03.0020</b>		17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	provider is a legal person excluding individuals acting in a business capacity
<b>RT.02.03.0051</b>	<b>Other code to identify the direct ICT third-party service provider of the entity in RT.02.03.0020</b>	Alphanumerical	Other code used to identify the ICT third-party service provider or subcontractor of the entity in RT.02.03.0020	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
<b>RT.02.03.0052</b>	<b>Country of issuance of the other code to identify the direct ICT third-party service provider of the entity in RT.02.03.0020</b>	Country	Identify the ISO 3166-1 alpha-2 code of the country of issuance of the other code to identify the ICT third-party service provider of the entity in RT.02.03.0020	Mandatory if RT.02.03.0051 is reported
<b>RT.02.03.0053</b>	<b>Type of other code to identify the direct ICT third-party service provider of the entity in RT.02.03.0020</b>	Closed set of options	Type of other code to identify the ICT third-party service provider of the entity in RT.02.03.0020  One of the options in the following closed list shall be used:  1. Corporate registration number 2. VAT number 3. Passport Number 4. National Identity Number	Mandatory if RT.02.03.0051 is reported

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.02.03.0060</b>	<b>Contractual arrangement reference number between the entity in RT.02.03.0020 and its direct ICT third-party service provider(s)</b>	Alphanumerical	<p>Contractual arrangement reference number between the entity in RT.02.03.0020 and its direct ICT third-party service provider(s) as reported by the entity in RT.02.03.0020 in its register of information on a solo or sub-consolidated level.</p> <p>In case the direct ICT third-party service provider belongs to the sub-consolidation or consolidation scope, it shall be reported in RT.02.03.0020</p>	Mandatory

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**5. Instructions to fill in template RT.03.01 — Entities signing the Contractual Arrangements for receiving ICT service(s) or on behalf of the entities making use of the ICT service(s)**

The entity signing the contractual arrangement is not necessarily a financial entity nor the entity making use of the ICT services provided by the ICT third-party service provider.

For example, the entity signing the contractual arrangement referred above could be an ICT intra-group service provider, a financial and/or non-financial entity belonging to the same group of the financial entities making use of the ICT services provided by the ICT third-party service provider.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.03.01.0010	<b>Contractual reference number</b>	Alphanumerical	<b>As reported in RT.02.02.0010</b>  Identify the contractual reference number signed by the entity	Mandatory
RT.03.01.0020	<b>LEI code of the entity signing the contractual arrangement</b>	Alphanumerical	Identify the entity signing the contractual arrangement using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory
RT.03.01.0030	<b>Name of the entity signing the contractual arrangement</b>	Alphanumerical	Legal name of the entity signing the contractual arrangement with the ICT third-party service provider(s) and that represents the entities that make use of the ICT service(s). Branches shall be reported with the name of their respective head office. Only one single entity shall be reported per row.	Mandatory
RT.03.01.0040	<b>Country of the entity signing the contract</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country in which the entity is registered.	Mandatory
RT.03.01.0050	<b>Type of the entity signing the contract</b>	Closed set of options	One of the options in the following closed list shall be used:  1. credit institutions; 2. payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366; 3. account information service providers; 4. electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC;	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			5. investment firms; 6. crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens; 7. central securities depositories; 8. central counterparties; 9. trading venues; 10. trade repositories; 11. managers of alternative investment funds; 12. management companies; 13. data reporting service providers; 14. insurance and reinsurance undertakings; 15. insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries; 16. institutions for occupational retirement provision; 17. credit rating agencies; 18. administrators of critical benchmarks; 19. crowdfunding service providers; 20. securitisation repositories. 21. Other financial entity 22. Non-financial entity: ICT intra-group service provider 23. Non-financial entity: Other	

## 6. Instructions to fill in template RT.04.01 — Entities making use of the ICT services

All the financial entities making use of the ICT services provided by ICT third-party providers in the scope of sub-consolidation and consolidation shall be reported in this template. In case an entity, in scope of the sub-consolidation or consolidation, is not making use of an ICT service provided by an ICT third-party provider, this entity shall not be reported in this template.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.04.01.0010	Contractual reference number	Alphanumerical	<p><b>As reported in RT.02.01.0010</b></p> <p>Identify the contractual reference number in relation to the entity making use of the ICT services provided</p>	Mandatory
RT.04.01.0020	LEI of the financial entity making use of the ICT service(s)	Alphanumerical	20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the reporting date	Mandatory
RT.04.01.0030	Name of the financial entity making use of the ICT service(s)	Alphanumerical	Name of the financial entity that makes use of the ICT services. In case of a branch, the name of the head office shall be reported.	Mandatory
RT.04.01.0040	Country of the financial entity making use of the ICT service(s)	Country	Country in which the global operating headquarters of service provider are located with alpha-2 country codes to be used.	Mandatory
RT.04.01.0050	Type of the financial entity making use of the ICT service(s)	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. credit institutions;</li> <li>2. payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366;</li> <li>3. account information service providers;</li> <li>4. electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC;</li> </ol>	Mandatory



Column Code	Column Name	Type	Fil-in Instruction	Fill-in Option
			5. investment firms; 6. crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens; 7. central securities depositories; 8. central counterparties; 9. trading venues; 10. trade repositories; 11. managers of alternative investment funds; 12. management companies; 13. data reporting service providers; 14. insurance and reinsurance undertakings; 15. insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries; 16. institutions for occupational retirement provision; 17. credit rating agencies; 18. administrators of critical benchmarks; 19. crowdfunding service providers; 20. securitisation repositories. 21. Other financial entity 22. Non-financial entity: ICT intra-group service provider 23. Non-financial entity: Other	
<b>RT.04.01.0060</b>	<b>Value of total assets - of the financial entity making use of the ICT service(s)</b>	Monetary	Monetary value of total assets of the entity making use of the ICT services as reported in the entity's annual financial statement of the year before the date of the last update of the register of information.	Mandatory

Column Code	Column Name	Type	Fil-in Instruction	Fill-in Option
			Refer to Annex V for the approach to be followed when filling in this column.	
<b>RT.04.01.0070</b>	<b>Value of the other financial indicator of the financial entity making use of the ICT service(s)</b>	Monetary	<p>Monetary value of the other financial indicator of the entity making use of the ICT services as reported in the entity's annual financial statement of the year before the date of the last update of the register of information.</p> <p>Refer to Annex V for the approach to be followed when filling in this column.</p>	Mandatory

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## 7. Instructions to fill in template RT.05.01 — ICT third-party service providers

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.01.0010	<b>LEI of the ICT third-party service provider</b>	Alphanumerical	Identify the ICT third-party service provider using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory if the ICT third-party service provider is a legal person
RT.05.01.0021	<b>Other code to identify the ICT third-party service provider</b>	Alphanumerical	Other code to identify the ICT third-party service provider	Mandatory if the LEI is not available and ICT third-party service provider is not a legal person
RT.05.01.0022	<b>Country of issuance of the other code to identify the ICT third-party service provider</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country of issuance of the other code to identify the ICT third-party service provider	Mandatory if RT.05.01.0021 is reported
RT.05.01.0023	<b>Type of other code to identify the ICT third-party service provider</b>	Closed set of options	Type of the other code to identify the ICT third-party service provider  One of the options in the following closed list shall be used:  1. Corporate registration number 2. VAT number 3. Passport Number 4. National Identity Number	Mandatory if RT.05.01.0021 is reported

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.01.0030	Name of the ICT third-party service provider	Alphanumerical	Legal name of the ICT third-party service provider	Mandatory
RT.05.01.0040	Type of person of the ICT third-party service provider	Closed set of options	One of the options in the following closed list shall be used:  1. Legal person 2. Individual acting in a business capacity  Providing the LEI is mandatory for legal person including individuals acting in a business capacity	Mandatory
RT.05.01.0050	Country of the ICT third-party service provider's headquarters	Country	Identify the ISO 3166–1 alpha–2 code of the country in which the global operating headquarters of ICT third-party service provider are located.	Mandatory
RT.05.01.0060	Registered address of the ICT third-party service provider	Alphanumerical	Registered address of the ICT third-party service provider as stipulated in the contractual arrangement.	Optional
RT.05.01.0070	Business alliance	Closed set of options	One of the options in the following closed list shall be used:  1. The ICT third-party service provider is not part of an alliance; 2. The ICT third-party service provider is part of a group; 3. The ICT third-party service provider is a joint-venture; 4. The ICT third-party service provider is a member of an association or a partnership of firms; 5. Other case where the ICT third-party service provider is connected to other legal entities.	Mandatory
RT.05.01.0080	Name of the ICT third-party	Alphanumerical	Name of the ultimate parent undertaking of the ICT third-party service provider.	Mandatory

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Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
	<b>service provider's ultimate parent undertaking</b>		<p>In case the ICT third-party service provider is a joint venture where the owners have equal part, all the owners shall be reported using separate rows.</p> <p>In case the ICT third-party service provider is a member of an association or a partnership of firms, the name of the coordinating firm shall be reported.</p> <p>If the ICT third-party service provider is the ultimate parent undertaking, 'Not applicable' shall be reported.</p>	
<b>RT.05.01.0090</b>	<b>LEI of the ICT third-party service provider's ultimate parent undertaking</b>	Alphanumerical	Identify the ICT third-party service provider's ultimate parent undertaking using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update if the contract is not terminated or cancelled.	Mandatory if RT.05.01.0080 is reported
<b>RT.05.01.0101</b>	<b>Other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Alphanumerical	Other code to identify the ICT third-party service provider's ultimate parent undertaking	Mandatory if RT.05.01.0080 is reported
<b>RT.05.01.0102</b>	<b>Country of issuance of the other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Country	Identify the ISO 3166-1 alpha-2 code of the country of issuance of the other code to identify the ICT third-party service provider's ultimate parent undertaking	Mandatory if RT.05.01.0101 is reported

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.05.01.0103</b>	<b>Name of the identification system of the other code to identify the ICT third-party service provider's ultimate parent undertaking</b>	Closed set of options	Name of the identification system of the other code to identify the ICT third-party service provider's ultimate parent undertaking  One of the options in the following closed list shall be used:  1. Corporate registration number 2. VAT number 3. Passport Number 4. National Identity Number	Mandatory if RT.05.01.0101 is reported
<b>RT.05.01.0110</b>	<b>Country of the ICT third-party service provider ultimate parent undertaking's headquarters</b>	Country	Identify the ISO 3166–1 alpha–2 code of the country in which the parent undertaking's headquarters are located	Mandatory
<b>RT.05.01.0120</b>	<b>Is the ICT third-party service provider an ICT intra-group service provider?</b>	[Yes/No]	One of the options in the following closed list shall be used:  1. Yes 2. No	Mandatory

## 8. Instructions to fill in template RT.05.02 — ICT service supply chains

This template aims at identifying and linking one to each other the ICT third-party service providers part of the same ICT service supply chain.

The ICT service supply chain shall include, where applicable:

- (iv) all ICT intragroup service providers;
- (v) all ICT third-party service providers supporting a critical or important function or material parts thereof;
- (vi) in case a ICT intragroup service provider makes use of subcontractors to provide their ICT services to the financial entity, at least the first extra-group ICT third party service provider even if the ICT services provided do not support a critical or important function or material part thereof.

All ICT third-party service providers belonging to the same ICT service supply chain share:

- (iii) the same 'contractual arrangement reference number' as referred in template RT.02.01;
- (iv) the same 'ICT service identifier' as referred in template RT.07.01;

Each ICT third-party service providers belonging to the same ICT service supply is assigned with a 'rank' (RT.05.02.0040) to identify its position within the ICT service supply chain. In case multiple ICT third-party service providers have the same position within the same ICT service supply chain, they will be assigned with the same 'rank'. The direct ICT third-party service providers are therefore at rank 1. If the rank is higher than 1, the ICT third-party service providers are subcontractors.

In order to link one to each other the ICT third party service providers belonging to the same ICT service supply chain, for each ICT subcontractor (i.e. where the 'rank' is higher than 1) it is needed to identify the ICT third party service provider recipient of its subcontracted services. The identification of the ICT third party service provider recipient of subcontracted services shall be carry out by using the columns from RT.05.02.0050 to RT.05.02.0070.

For each ICT service supply chain (i.e., a combination of a "contractual arrangement reference number" and an "ICT service identifier"), if there are multiple ICT third-party service providers receiving subcontracted services, all of these service providers shall be reported in separate rows in the template. The same logic applies at each rank of the ICT service supply chain.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.02.0010	Contractual reference number	Alphanumerical	As reported in RT.02.01.0010	Mandatory
RT.05.02.0020	ICT service identifier	Alphanumerical	As reported in RT.07.01.0010	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.05.02.0030	LEI of the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0010	Mandatory if the ICT third-party service provider is a legal person
RT.05.02.0041	Other code to identify the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0021	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
RT.05.02.0042	Country of issuance of the other code to identify the ICT third-party service provider	Country	As reported in RT.05.01.0022	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
RT.05.02.0043	Type of other code to identify the ICT third-party service provider	Closed set of options	As reported in RT.05.01.0023	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal person
RT.05.02.0050	Name of the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0030	Mandatory
RT.05.02.0060	Rank	Integer	If the ICT third-party service provider is signing the contractual arrangement with the financial entity, it is considered as a direct ICT	Mandatory

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Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>third-party service provider and the 'rank' to be reported shall be 1;</p> <p>If the ICT third-party service provider is signing the contract with the direct ICT third-party service provider, it is considered as a subcontractor and the 'rank' to be reported shall be 2;</p> <p>The same logic apply to all the following subcontractors by incrementing the 'rank' until the last contractor in the ICT service supply chain.</p> <p>In case multiple ICT third-party service providers have the same 'rank' in the ICT service supply chain, financial entities shall report the same 'rank' for all those ICT third-party service providers.</p>	
<b>RT.05.02.0070</b>	<b>LEI of the recipient of sub-contracted ICT services</b>	Alphanumerical	<p>'Not applicable' if the ICT third-party service provider is a direct ICT third-party service provider i.e. at 'rank' <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at 'rank' <math>r = n</math> where <math>n &gt; 1</math>, indicate the 'LEI of the recipient of sub-contracted services' at 'rank' <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at 'rank' <math>r = n</math>.</p> <p>To indicate the 'LEI of the recipient of subcontracted services' use the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard</p>	Mandatory Not applicable for rank 1
<b>RT.05.02.0081</b>	<b>Other code to identify the recipient of sub-contracted ICT services</b>	Alphanumerical	<p>'Not applicable' if the ICT third-party service provider is at contracting rank <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at 'rank' <math>r = n</math> where <math>n &gt; 1</math>, indicate the 'Other code to identify the recipient of sub-contracted service' at 'rank' <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at 'rank' <math>r = n</math>.</p>	Mandatory if the LEI is not available and the ICT third-party service provider is not a legal

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Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
				personNot applicable for rank 1
<b>RT.05.02.0082</b>	<b>Country of issuance of other code to identify the recipient of sub-contracted ICT services</b>	Country	<p>‘Not applicable’ if the ICT third-party service provider is at ‘rank’ <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at ‘rank’ <math>r = n</math> where <math>n &gt; 1</math>, indicate the ‘Country of issuance of other code to identify the recipient of sub-contracted services’ at ‘rank’ <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at ‘rank’ <math>r = n</math>.</p> <p>To indicate the ‘Country of issuance of other code to identify the recipient of sub-contracted services’, use the ISO 3166–1 alpha–2 code of the country of issuance of the other code to identify the recipient of sub-contracted services.</p>	Mandatory if RT.05.02.0081 is reported Not applicable for rank 1
<b>RT.05.02.0083</b>	<b>Type of other code to identify the recipient of sub-contracted ICT services</b>	Closed set of options	<p>‘Not applicable’ if the ICT third-party service provider is at ‘rank’ <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at ‘rank’ <math>r = n</math> where <math>n &gt; 1</math>, indicate the ‘Type of other code to identify the ICT third-party service provider recipient of sub-contracted services’ at ‘rank’ <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at ‘rank’ <math>r = n</math>.</p> <p>To indicate the type, one of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Corporate registration number</li> <li>2. VAT number</li> </ol>	Mandatory if RT.05.02.0081 is reported Not applicable for rank 1

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			3. Passport Number 4. National Identity Number	
<b>RT.05.02.0090</b>	<b>Name of the recipient of sub-contracted ICT services</b>	Alphanumerical	<p>'Not applicable' if the ICT third-party service provider is at contracting rank <math>r = 1</math> (RT.05.01.0020);</p> <p>If the ICT third-party service provider is at 'rank' <math>r = n</math> where <math>n &gt; 1</math>, indicate the 'Name of the ICT third-party service provider recipient of sub-contracted services' at 'rank' <math>r = n - 1</math> that subcontracted the ICT service (even partially) to the ICT third-party service provider at 'rank' <math>r = n</math>.</p>	Mandatory Not applicable for rank 1

## 9. Instructions to fill in template RT.05.03 — Alternative direct ICT third-party service providers

When supporting an important or critical function, this template aims at listing alternative direct ICT third-party service providers (not the subcontractors) identified by the financial entity.

In case the direct ICT third-party service provider is an ICT intra-group service providers, financial entities shall not report ‘alternative direct ICT third-party service providers’.

The identification of an alternative service provider is part of the definition of the exit strategy of financial entities from ICT third-party service providers supporting critical or important functions. In principle, for each ICT third-party service provider supporting a critical or important function, the assessment to identify an alternative service provider shall be performed.

Column Code	Column Name	Type	Instruction	Fill-in Option
RT05.03.0010	Contractual arrangement reference number	Alphanumerical	<p><b>As reported in RT02.01.0010</b></p> <p>Identify the contractual reference number where the ICT third-party service providers have been identified by the financial entity making use of the ICT services provided when at least a critical or important function is supported</p>	Mandatory if ‘Yes’ is reported in RT.08.01.0100
RT05.03.0020	Function identifier	Alphanumerical	<p><b>As reported in RT06.01.0010</b></p> <p>Function identifier to identify the critical or important function supported by the ICT service provided</p>	Mandatory if ‘Yes’ is reported in RT.08.01.0100
RT05.03.0030	ICT service identifier	Alphanumerical	<p><b>As reported in RT07.01.0010</b></p> <p>ICT service identifier to identify the ICT service provided</p>	Mandatory if ‘Yes’ is reported in RT.08.01.0100
RT05.03.0040	LEI of the ICT third-party service provider	Alphanumerical	<p><b>As reported in RT.05.01.0010</b></p>	Mandatory if ‘Yes’ is reported in RT.08.01.0100

Column Code	Column Name	Type	Instruction	Fill-in Option
RT05.03.0051	Other code to identify the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0021	Mandatory if the LEI is not available and if 'Yes' is reported in RT.08.01.0100
RT05.03.0052	Country of issuance of the other code to identify the ICT third-party service provider	Country	As reported in RT.05.01.0022	Mandatory if RT05.03.0051 is reported
RT05.03.0053	Type of other code to identify the ICT third-party service provider	Closed set of options	As reported in RT.05.01.0023	Mandatory if RT05.03.0051 is reported
RT05.03.0060	Alternative ICT third-party service provider name	Alphanumerical	Legal name of the alternative ICT third-party service provider	Mandatory if 'Yes' is reported in RT.08.01.0100
RT05.03.0070	Alternative ICT third-party service provider country	Country	Identify the ISO 3166–1 alpha–2 code of the country of the alternative ICT third-party service provider	Mandatory if 'Yes' is reported in RT.08.01.0100

## 10. Instructions to fill in template RT.06.01 — Functions identification

This template aims at identifying and providing information on the functions of the financial entity according to the financial entity’s internal organisation.

Each combination of the three following items shall have a unique function identifier assigned:

- i. ‘LEI of the financial entity making use of the ICT service(s)’ column RT.06.01.0030
- ii. ‘Licenced activity’ column RT.06.01.0040
- iii. ‘Function name’ column RT.06.01.0051

Financial entities shall use as many rows as the elements in the matrix resulting combining the two items above to fill-in this template.

Column Code	Column Name	Type	Instruction	Fill-in Option
<b>RT.06.01.0010</b>	<b>Function Identifier</b>	Alphanumerical	<p>The function identifier shall be composed by the letter F (capital letter) followed by an integer (e.g. “F1” for the 1st function identifier and “Fn” for the n<sup>th</sup> function identifier with “n” being an integer).</p> <p>Each combination between ‘Function name’ (RT.06.01.0051) and ‘Licenced activity’ (RT.06.01.0040) shall have a unique function identifier</p> <p>Example: a financial entity which operates under two licensed activities (say, activity A and activity B) will identify two unique ‘function identifiers’ for the same function X (e.g. Sales) performed for activity A and activity B.</p>	Mandatory
<b>RT.06.01.0020</b>	<b>Licenced activity</b>	Closed set of options	<p>Name of the licenced activities as identified in Annex III for the different type of financial entities.</p> <p>In case the function is not linked to a registered or licenced activity, ‘support functions’ shall be reported.</p>	Mandatory
<b>RT.06.01.0030</b>	<b>Function name</b>	Alphanumerical	Function name according to the financial entity’s internal organisation.	Mandatory
<b>RT.06.01.0040</b>	<b>LEI of the entity making</b>	Alphanumerical	<b>As reported in RT.04.01.0020</b>	Mandatory

Column Code	Column Name	Type	Instruction	Fill-in Option
	<b>use of the ICT service(s)</b>		20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the reporting date. In case multiple entities make use of the ICT services, please add an additional line entry for each entity.	
<b>RT.06.01.0051</b>	<b>Nature of the financial entity making use of the ICT service(s)</b>	Closed set of options	One of the options in the following closed list shall be used: 1. The entity making use of the ICT service(s) is a branch 2. The entity making use of the ICT service(s) is not a branch	Mandatory
<b>RT.06.01.0052</b>	<b>Name of the branch</b>	Alphanumerical	Name of the branch	Mandatory in case “the entity making use of the ICT service(s) is a branch“ is selected in RT.06.01.0031
<b>RT.06.01.0053</b>	<b>Country of the branch</b>	Country	Country in which the branch is located with alpha-2 country codes to be used.	Mandatory in case “the entity making use of the ICT service(s) is a branch“ is selected in RT.06.01.0031
<b>RT.06.01.0061</b>	<b>Criticality or importance assessment</b>	[Yes/No]	Use this column to indicate whether the function is critical or important according to the financial entity’s assessment. One of the options in the following closed list shall be used:  1. Yes	Mandatory

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Column Code	Column Name	Type	Instruction	Fill-in Option
			2. No 3. Assessment not performed	
<b>RT.06.01.0062</b>	<b>Reasons for criticality or importance</b>	Alphanumerical	Brief explanation on the reasons to classify the function as critical or important (300 characters maximum)	Optional
<b>RT.06.01.0063</b>	<b>Date of the last assessment of criticality or importance</b>	Date	Identify the ISO 8601 (yyyy–mm–dd) code of the date of the last assessment of criticality or importance in case the function is supported by ICT services provided by ICT third-party service providers. In case the function’s assessment of criticality or importance is not performed, it shall be filled in with ‘9999-12-31’	Mandatory
<b>RT.06.01.0070</b>	<b>Function is considered time-critical</b>	[Yes/No]	Use this column to indicate whether the function is considered time-critical according to the financial entity’s assessment. One of the options in the following closed list shall be used:  1. Yes 2. No 3. Assessment not performed	Mandatory
<b>RT.06.01.0080</b>	<b>Recovery time objective of the function</b>	Integer	In number of hours. If the recovery time objective is less than 1 hour, ‘1’ shall be reported. In case the recovery time objective of the function is not defined ‘0’ shall be reported.	Mandatory
<b>RT.06.01.0090</b>	<b>Recovery point objective of the function</b>	Integer	In number of hours. If the recovery point objective is less than 1 hour, ‘1’ shall be reported. In case the recovery time objective of the function is not defined ‘0’ shall be reported.	Mandatory
<b>RT.06.01.0100</b>	<b>Impact of discontinuing the function</b>	Closed set of options	Use this column to indicate the impact of discontinuing the function according to the financial entity’s assessment. One of the options in the following closed list shall be used	Mandatory



Column Code	Column Name	Type	Instruction	Fill-in Option
			1. Low 2. Medium 3. High 4. Assessment not performed	

## 11. Instructions to fill in template RT.07.01 — ICT services identification

Objective of this template is to identify through the creation of a ‘ICT service identifier’ the ICT services provided by ICT third-party service providers to the financial entity in case the ICT service is not listed in Annex III. If the ICT service is listed in Annex III, the ICT service identifier is the one indicated in Annex III.

Each ICT service shall have a unique ‘ICT service identifier’ assigned.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.07.01.0010	ICT service identifier	Alphanumerical	The ICT service identifier shall be composed by the letter S (capital letter) followed by an integer (e.g. “S21” for the 21st ICT service identifier and “Sn” for the n <sup>th</sup> ‘ICT services identifier’ with “n” being an integer where n>20).  If the ICT service is listed in Annex IV the ICT service identifier is the one indicated in Annex IV	Mandatory
RT.07.01.0021	Name of the ICT service	Alphanumerical	Financial entities shall report the name of the ICT service in case it is not listed in Annex IV.	Mandatory
RT.07.01.0022	Description of the ICT service provided	Alphanumerical	A brief (maximum 300 characters) description of the ICT service provided, in case it is not listed in Annex IV, including the data that are being processed and stored.	Mandatory

## 12. Instructions to fill in template RT.08.01 — Assessment of the ICT services

When supporting an important or critical function, this template aims at further assessing the ICT services provided by ICT third-party service providers to the financial entity.

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
RT.08.01.0010	Contractual arrangement reference number	Alphanumerical	As reported in RT.02.01.0010	Mandatory
RT.08.01.0020	LEI of the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0010	Mandatory
RT.08.01.0031	Other code to identify the ICT third-party service provider	Alphanumerical	As reported in RT.05.01.0021	Mandatory
RT.08.01.0032	Country of issuance of the other code to identify the ICT third-party service provider	Country	As reported in RT.05.01.0022	Mandatory
RT.08.01.0033	Type of other code to identify the ICT third-party service provider	Closed set of options	As reported in RT.05.01.0023	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.08.01.0040</b>	<b>ICT service identifier</b>	Alphanumerical	<b>As reported in RT.07.01.0010</b>	Mandatory
<b>RT.08.01.0051</b>	<b>Substitutability of the ICT third-party service provider</b>	Closed set of options	<p>Use this column to provide the results of the financial entity’s assessment in relation to the degree of substitutability of the ICT third-party service provider to perform the specific ICT services supporting a critical or important function.</p> <p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Not substitutable</li> <li>2. Highly complex substitutability</li> <li>3. Medium complexity in terms of substitutability</li> <li>4. Easily substitutable</li> </ol>	Mandatory
<b>RT.08.01.0052</b>	<b>Reason if the ICT third-party service provider is considered not substitutable or difficult to be substitutable</b>	Closed set of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. The lack of real alternatives, even partial, due to the limited number of ICT third-party service providers active on a specific market, or the market share of the relevant ICT third-party service provider, or the technical complexity or sophistication involved, including in relation to any proprietary technology, or the specific features of the ICT third-party service provider’s organisation or activity.</li> <li>2. Difficulties in relation to partially or fully migrating the relevant data and workloads from the relevant ICT third-party service provider to another ICT third-party service provider or to reintegrate them in the financial entity’s operations, due either to significant financial costs, time or other resources that the migration process may entail, or to increased ICT risk or other operational risks to which the financial entity.</li> <li>3. Both abovementioned reasons</li> </ol>	Mandatory in case “not substitutable” or “highly complex substitutability” is selected in RT.08.01.0041

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
<b>RT.08.01.0060</b>	<b>Date of the last audit on the ICT third-party service provider</b>	Date	<p>Use this column to provide the date of the last audit on the specific ICT services provided by the ICT third-party service provider.</p> <p>This column relates to audits conducted by:</p> <ul style="list-style-type: none"> <li>(i) the internal audit department or any other additional qualified personnel of the financial entity,</li> <li>(ii) a joint team together with other clients of the same ICT third-party service provider (“pooled audit”) or</li> <li>(iii) a third party appointed by the supervised entity to audit the service provider.</li> </ul> <p>This column does not relate to the reception or reference date of third-party certifications or internal audit reports of the ICT third-party service provider, the annual monitoring date of the arrangement by the financial entity or the date of review of the risk assessment by the financial entity.</p> <p>This column shall be used to report all types of audits performed by any of the subjects listed above concerning fully or partially the ICT services provided by the ICT third-party service provider.</p> <p>To report the date, the ISO 8601 (yyyy–mm–dd) code shall be used.</p> <p>If no audit has been performed, it shall be filled in with ‘9999-12-31’.</p>	Mandatory
<b>RT.08.01.0070</b>	<b>Existence of an exit plan</b>	[Yes/No]	Use this column to report the existence of an exit plan from the ICT third-party service provider in relation to the specific ICT service provided.	Mandatory

Column Code	Column Name	Type	Fill-in Instruction	Fill-in Option
			<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol>	
<b>RT.08.01.0080</b>	<b>Possibility of reintegration of the contracted ICT service</b>	Closed et of options	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Easy</li> <li>2. Difficult</li> <li>3. Highly complex</li> </ol> <p>In case the ICT service is provided by a ICT third-party service provider that is not an ICT intra-group service provider</p>	Mandatory
<b>RT.08.01.0090</b>	<b>Impact of discontinuing the ICT services</b>	Closed et of options	<p>Use this column to provide the impact for the financial entity of discontinuing the ICT services provided by the ICT third-party service provider according to the financial entity's assessment. One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Low</li> <li>2. Medium</li> <li>3. High</li> <li>4. Assessment not performed</li> </ol>	Mandatory
<b>RT.08.01.0100</b>	<b>Are there alternative ICT third-party service providers identified?</b>	[Yes/No]	<p>One of the options in the following closed list shall be used:</p> <ol style="list-style-type: none"> <li>1. Yes</li> <li>2. No</li> </ol> <p>In principle, for each ICT third-party service provider supporting a critical or important function, the assessment to identify an alternative service provider shall be performed.</p>	Mandatory

**13. Instructions to fill in template RT.99.01 — Definitions from Entities making use of the ICT Services**

	RT.99.01.C0010	RT.99.01.C0020	RT.99.01.C0030	RT.99.01.C0040
	Column Code	Column Name	Option	Description/Internal definition of the option
RT.99.01.R0010	RT.02.01.0020	Type of contractual arrangement	1. Standalone arrangement	
RT.99.01.R0020			2. Overarching arrangement	
RT.99.01.R0030			3. Subsequent or associated arrangement	
RT.99.01.R0040	RT.02.02.0130	Sensitiveness of the data stored by the ICT third-party service provider	1. Low	
RT.99.01.R0050			2. Medium	
RT.99.01.R0060			3. High	
RT.99.01.R0070	RT.06.01.0090	Impact of discontinuing the function	1. Low	
RT.99.01.R0080			2. Medium	
RT.99.01.R0090			3. High	
RT.99.01.R0100			4. Assessment not performed	
RT.99.01.R0110	RT.08.01.0031	Substitutability of the ICT third-party service provider	1. Not substitutable	
RT.99.01.R0120			2. Highly complex substitutability	
RT.99.01.R0130			3. Medium complexity in terms of substitutability	
RT.99.01.R0140			4. Easily substitutable	
RT.99.01.R0150	RT.08.01.0080	Possibility of reintegration of the contracted ICT service	1. Easy	
RT.99.01.R0160			2. Difficult	
RT.99.01.R0170			3. Highly complex	
RT.99.01.R0180	RT.08.01.0090	Impact of discontinuing the ICT services	1. Low	
RT.99.01.R0190			2. Medium	
RT.99.01.R0200			3. High	
RT.99.01.R0210			4. Assessment not performed	

**14. Instructions to fill in template RT.99.02 — Financial entities in the scope of sub-consolidation or consolidation**

<b>Column Code</b>	<b>Column Name</b>	<b>Type</b>	<b>Fill-in Instruction</b>	<b>Fill-in Option</b>
<b>RT.99.02.010</b>	<b>LEI of the entity in the scope of sub-consolidation or consolidation covered in this Register of information</b>	Alphanumerical	Identify the financial entities in the scope of sub-consolidation or consolidation covered in this Register of information using the Legal Entity Identifier (LEI) 20-character, alpha-numeric code based on the ISO 17442 standard valid and active at the date of last update.	Mandatory
<b>RT.99.02.020</b>	<b>Date of integration in the Register of information</b>	Date	Identify the ISO 8601 (yyyy–mm–dd) code of the date of integration in the Register of information	Mandatory
<b>RT.99.02.030</b>	<b>Date of deletion in the Register of information</b>	Date	Identify the ISO 8601 (yyyy–mm–dd) code of the date of deletion in the Register of information. If the financial entity has not been deleted, ‘9999-12-31’ shall be reported	Mandatory



### Annex III

#### List of activities by type of entity

Type of entity	List of activities and services
(a) credit institutions	Activities listed in Annex I of Directive 2013/36/EU (CRD) Activities listed in Section A and B of Annex I of Directive 2014/65/EU (MiFID)
(b) payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366	Activities listed in Annex I of Directive 2015/2366/EU (PSD2)
(c) account information service providers	Provision of account information services in accordance with Directive 2015/2366/EU (PSD2)
(d) electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC	Issuing electronic money in accordance with 2009/110/EC (EMD) and further activities listed in Article 6 of that Directive
(e) investment firms	Investment services and activities listed in Annex I of Directive 2014/65/EU (MiFID, sections A and B)
(f) crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets, and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens	Services and activities listed in Article 3(9) of MiCAR
(g) central securities depositories	Activities listed in Annex of Regulation (EU) No 909/2014 (CSDR)

Type of entity	List of activities and services
(h) central counterparties	Activity of CCPs as described in Article 2(1) of Regulation EU No 648/2012 (EMIR)
(i) trading venues	Activity of trading venues as described in Article 2(4) of Regulation EU No 648/2012 (EMIR)
(j) trade repositories	Activities of trade repositories as described in Article 2(2) of Regulation EU No 648/2012 (EMIR) and in Article 3(1) of Regulation No 2015/2365 on transparency of securities financing transactions and of reuse and amending EMIR (SFTR)
(k) managers of alternative investment funds	Activities listed in Article 6(4) + Annex I of Directive 2011/61/EU (AIFMD)
(l) management companies	Activities listed in Article 6(3) + Annex II of Directive 2009/65/EC (UCITs)
(m) data reporting service providers	Services listed in Annex I of Directive 2014/65/EU (MiFID, sections D)
(n) insurance and reinsurance undertakings	Activities authorised for the classes of non-life insurance as described in Annex I Section B of Directive 2009/138/EC and classes of life insurance as described in Annex II of Directive 2009/138/EC (Solvency II)
(o) insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries	Activities of insurance distribution and reinsurance distribution as described in Articles 2(1)(1) and 2(1)(2) of Directive (EU) 2016/97 (IDD)
(p) institutions for occupational retirement provision	Activities of IORPs as described in article 7 of Directive 2016/2341 (IORP II)
(q) credit rating agencies	Activities of CRAs as described in Article 3.1(b) of Regulation (EC) No 1060/2009

Type of entity	List of activities and services
(r) administrators of critical benchmarks	Activity of administrators of critical benchmarks as described in Article 3.1(6) of Regulation (EU) 2016/1011
(s) crowdfunding service providers	Provision of crowdfunding services in accordance with Article 3 of Regulation (EU) 2020/1503
(t) securitisation repositories	Activity of SRs as described in Article 2(23) of Regulation (EU) 2017/2402
Non-financial entity: ICT intra-group service provider	Not applicable
Non-financial entity: Other intra-group entity	Not applicable
Non-financial entity: ICT third-party service provider	Not applicable

## Annex IV

### List of ICT services

ICT service Identifier	ICT service name	Description
S1	1. Software licencing (excluding SaaS)	Rental of software run on premises.
S2	2. ICT project management	Covering provision of services related to: Business analysis, Development, Project Management Officer (PMO).
S3	3. ICT Development	Covering provision of services related to: ICT development, Software development, testing.
S4	4. ICT help desk and ICT incident management	Covering provision of services related to: ICT support, incident management.
S5	5. ICT security management services	Covering provision of services related to: ICT security (protection, detection, response and recovering), including security incident handling and forensics.
S6	6. Provision of data	Subscription to the services of data providers. (digital data service)
S7	7. Data analysis	Covering provision of services related to the support for data analysis. (digital data service)
S8	8. ICT facilities	Rental of facilities and physical infrastructures. This includes the provision of fluids, telecom access and physical onsite security.
S9	9. Computation	Rental of capabilities for digital processing (including data computation). This is usually performed in the context of a cloud environment.
S10	10. Non-Cloud Data storage	Rental of data storage platform (excluding Cloud services).

S11	11. Telecom carrier	Operations for telecommunication systems and flow management. Traditional analogue telephone services are excluded as per Article 3(21) of Regulation (EU) 2022/2554
S12	12. Network materials	Rental of the equipment for the deployment of the ICT network.
S13	13. Hardware rental	Rental of workstations, phone, servers...
S14	14. ICT operation management (excluding network services)	Covering provision of services related to: infrastructure (systems and hardware except network) configuration, installing, capacity management, business continuity management.
S15	15. Network services	Covering provision of services related to: network configuration / setting, implementation, management.
S16	16. ICT Consulting	Any other provisions of intellectual / ICT expertise services. Including Managed Service Providers (MSP)
S17	17. ICT Risk management and ICT audit	Implementation of the controls for the second and third line of defence.
S18	18. Cloud services: IaaS	Infrastructure-as-a-Service
S19	19. Cloud services: PaaS	Platform-as-a-Service
S20	20. Cloud services: SaaS	Software-as-a-Service
To be defined in Template RT.07.01	21. Other ICT services	Other ICT services not listed above

## Annex V

### Instruction to report the “total value of assets” and the “value of other financial indicator” per type of financial entity

#### Value of total assets

Type of entity	Instruction to report value of total assets in column RT.01.01.0070 in case of register of information maintained at entity level and RT.04.01.0060 in case of register of information maintained at sub-consolidated or consolidated level
(a) credit institutions	Information as specified in Annex 10, Template C40.00 Row 0410, Column 0010 of Commission Implementing Regulation (EU) 2021/451
(b) payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366	Value of the total assets in the statutory accounts
(c) account information service providers	Value of the total assets in the statutory accounts
(d) electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC	Value of the total assets in the statutory accounts
(e) investment firms	Information as specified in Annex I, template Z01.00, column 0090 of Commission Implementing Regulation (EU) 2018/1624
(f) crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on markets in crypto-assets, and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 (‘the Regulation on markets	Value of the total assets in the statutory accounts

Type of entity	Instruction to report value of total assets in column RT.01.01.0070 in case of register of information maintained at entity level and RT.04.01.0060 in case of register of information maintained at sub-consolidated or consolidated level
in crypto-assets') and issuers of asset-referenced tokens	
(g) central securities depositories	Value of the total assets reported in the audited financial statements reported to CAs pursuant to article 41(a) Regulation (EU) 2017/392
(h) central counterparties	Information as reported in "Public quantitative disclosure standards for central counterparties", field 15.2
(i) trading venues	No specific format nor financial information required to be provided.
(j) trade repositories	Value of the total assets in the statutory accounts
(k) managers of alternative investment funds	Value of the total assets in the statutory accounts
(l) management companies	Value of the total assets in the statutory accounts
(m) data reporting service providers	Value of the total assets in the statutory accounts
(n) insurance and reinsurance undertakings	Information as specified in Annex II and Annex II, Template S02.01 Row 0500, Column 0010 of Commission Implementing Regulation (EU) 2015/2450
(o) insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries	Value of the total assets in the statutory accounts

Type of entity	Instruction to report value of total assets in column RT.01.01.0070 in case of register of information maintained at entity level and RT.04.01.0060 in case of register of information maintained at sub-consolidated or consolidated level
(p) institutions for occupational retirement provision	Information as specified in ECB guideline 2021/831 Annex 1 Part 4 Section 2
(q) credit rating agencies	Value of the total assets in the statutory accounts
(r) administrators of critical benchmarks	Value of the total assets in the statutory accounts
(s) crowdfunding service providers	Value of the total assets in the statutory accounts
(t) securitisation repositories	Value of the total assets in the statutory accounts
Non-financial entity: ICT intra-group service provider	Not applicable
Non-financial entity: Other intra-group entity	Not applicable
Non-financial entity: ICT third-party service provider	Not applicable



### Value of other financial indicator

Type of entity	Instruction to report value of other financial indicator in column RT.01.01.0080 in case of register of information maintained at entity level and RT.04.01.0070 in case of register of information maintained at sub-consolidated or consolidated level
(a) credit institutions	Not applicable
(b) payment institutions, including payment institutions exempted pursuant to Directive (EU) 2015/2366	Total amount of payment transactions executed by the payment institution in the preceding year, as provided in Article 9 (1) of Directive (EU) 2015/2366
(c) account information service providers	not applicable
(d) electronic money institutions, including electronic money institutions exempted pursuant to Directive 2009/110/EC	Total amount of payment transactions executed by the payment institution in the preceding year, as provided in Article 9 (1) of Directive (EU) 2015/2366  and  Average outstanding electronic money issued by electronic money institution as set out in Article 5(3) of Directive 2009/110/EC.
(e) investment firms	Depending on the activities of the investment firm: assets under management, client money held, assets safeguarded and administered, client orders handled or daily trading flow as provided in Title II, Chapter 1 of Regulation (EU) 2019/2033
(f) crypto-asset service providers as authorised under a Regulation of the European Parliament and of the Council on	Not applicable

Type of entity	Instruction to report value of other financial indicator in column RT.01.01.0080 in case of register of information maintained at entity level and RT.04.01.0070 in case of register of information maintained at sub-consolidated or consolidated level
markets in crypto-assets, and amending Regulations (EU) No 1093/2010 and (EU) No 1095/2010 and Directives 2013/36/EU and (EU) 2019/1937 ('the Regulation on markets in crypto-assets') and issuers of asset-referenced tokens	
(g) central securities depositories	<p>"substantial importance in more than one member State" (CSDR Art 24(4), Regulation (EU) 2017/389, ESMA Guidelines ESMA70-708036281-67) calculated annually by ESMA and based on:</p> <ul style="list-style-type: none"> <li>- the annual values of settlement instructions settled by each CSD,</li> <li>- the market value of financial instruments issued by issuers from host Member States</li> <li>- the market value of financial instruments centrally maintained in securities accounts by the CSD for participants and other holders of securities accounts from host Member State</li> </ul>
(h) central counterparties	Average daily volume (Public quantitative disclosure standards for central counterparties 23.1) or Gross notional outstanding (Public quantitative disclosure standards for central counterparties 23.2)
(i) trading venues	

Type of entity	Instruction to report value of other financial indicator in column RT.01.01.0080 in case of register of information maintained at entity level and RT.04.01.0070 in case of register of information maintained at sub-consolidated or consolidated level
	The Average Daily Turnover as required under REGULATION (EU) 2017/577 of 13 June 2016.
(j) trade repositories	Number of trades reported to the trade repository during the previous year (n-1) and the number of recorded outstanding trades on 31 December of the previous year (n-1)
(k) managers of alternative investment funds	Assets under Management (as reported in IT technical guidance 2013/1358)
(l) management companies	Assets under Management
(m) data reporting service providers	Number of transactions reported under article 26 of MiFIR (ARMs) and the number of the transactions published by APAs
(n) insurance and reinsurance undertakings	Value of the net written premiums underwritten by the undertaking in application of Directive 91/674/EEC, where applicable. The net premiums written represent the sum of the direct business and the accepted reinsurance business reduced by the amount ceded to reinsurance undertakings.
(o) insurance intermediaries, reinsurance intermediaries and ancillary insurance intermediaries	Value of the turnover of the intermediary as reported in the statutory accounts of the undertaking and defined in compliance to Article 19 of Directive (EU) 2016/97.

Type of entity	Instruction to report value of other financial indicator in column RT.01.01.0080 in case of register of information maintained at entity level and RT.04.01.0070 in case of register of information maintained at sub-consolidated or consolidated level
(p) institutions for occupational retirement provision	Value of total net contributions receivable, calculated as the total value of contributions receivable (code 48 00 1 and code 48 00 2 according to Annex I of Regulation 250/2009) less reinsurance contributions ceded (code 48 05 0 according to Annex I of Regulation 250/2009).
(q) credit rating agencies	Assessment by ESMA
(r) administrators of critical benchmarks	The number of critical benchmarks is pretty limited. Those with a EU footprint can be identified based on the annex of CIR (EU) 2016/1368.
(s) crowdfunding service providers	Amount raised, consistently with table 2 of the Annex of CIR (EU) 2022/2120 of 13 July 2022
(t) securitisation repositories	Total number of transactions, based on article 2.2 of CDR (EU) 2020/1229 of 29 November 2019
Non-financial entity: ICT intra-group service provider	Not applicable
Non-financial entity: Other intra-group entity	Not applicable
Non-financial entity: ICT third-party service provider	Not applicable

## 6. Draft cost-benefit analysis / impact assessment

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### 6.1 Draft cost-benefit analysis / impact assessment

1. As per Article 15(1) of Regulation (EU) No 1093/2010 (EBA Regulation), of Regulation (EU) No 1094/2010 (EIOPA Regulation) and Regulation (EU) No 1095/2010 (ESMA regulation), any draft implementing technical standards developed by the ESAs shall be accompanied by an Impact Assessment (IA) which analyses ‘the potential related costs and benefits’.
2. The next paragraphs present the IA of the main policy options included in this Consultation Paper (CP) on implementing technical standards (ITS) to establish the standard templates for the purposes of the register of information as mandated by Regulation (EU) 2022/2554.

#### A. Problem identification

3. According to Article 28(3) of the Regulation 2022/2554 (DORA), financial entities (FEs) shall maintain and update at entity level, and at sub-consolidated and consolidated levels, a register of information in relation to all contractual arrangements on the use of ICT services provided by ICT third-party service providers. Those contractual arrangements shall be appropriately documented, distinguishing between those that cover ICT services supporting critical or important functions and those that do not. Article 28(9) of Regulation (EU) 2022/2554 mandates the ESAs to develop draft implementing technical standards to establish the standard templates for the purposes of the register of information.

#### B. Policy objectives

4. The register of information (i) will be used by FEs as part of their ICT and third-party risk management framework, (ii) will enable the effective supervision of the financial entities’ ICT and

third-party risk management framework by competent authorities (CAs), and (iii) will support, as key source of information, the designation process of critical third-party providers subject to the DORA oversight framework.

5. The templates of the register of information included in the draft ITS should be designed to enable the fulfilment of the three objectives of the register of information itself as described in paragraph 4 above. In relation to the first objective of the register of information (i.e. FE internal management of ICT and third-party risk), the templates should be designed ensuring a minimum level of content harmonisation, giving however the possibility to FEs to tailor them to their internal and individual risk management purposes. Finally, the templates and the requirements of their data points should be designed considering a data management and reporting perspective to ensure consistency and harmonisation by design and avoid burdensome reprocessing of data for reporting purposes.

### C. Baseline scenario

6. The baseline scenario differs from the different type of FEs in scope of DORA as certain are subject already to outsourcing requirements stemming from their respective financial regulations (e.g. credit institutions or insurance and reinsurance undertakings), while others (e.g. insurance and reinsurance intermediaries) do not have specific outsourcing requirements in their financial regulations. Moreover, in relation to these requirements, it is important to highlight the different level of granularity and implementation by the different CAs in their supervisory practices.
7. For some of the FEs subject to outsourcing requirements, guidelines at national and European level (e.g. EBA guidelines on outsourcing<sup>7</sup>, EIOPA<sup>8</sup> and ESMA<sup>9</sup> guidelines on outsourcing to cloud service providers) contain the requirements for financial entities to maintain and update the structured recording of certain information, also in the form of a register, in relation to their outsourcing arrangements, including but not limited to those relating to ICT outsourcing. In the past years, national and European CAs have carried out data collection for supervisory purposes of these registers. It is however to be noted that the perimeter of ICT outsourcing and DORA ICT services

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<sup>7</sup> <https://www.eba.europa.eu/regulation-and-policy/internal-governance/guidelines-on-outsourcing-arrangements>

<sup>8</sup> [https://www.eiopa.europa.eu/publications/guidelines-outsourcing-cloud-service-providers\\_en](https://www.eiopa.europa.eu/publications/guidelines-outsourcing-cloud-service-providers_en)

<sup>9</sup> <https://www.esma.europa.eu/document/guidelines-outsourcing-cloud-service-providers>

does not match completely, with the latter (DORA perimeter) encompassing the first but extending also to services typically not included in the perimeter of ICT outsourcing (e.g. the purchase of licences for software)

8. Furthermore, as part of the preparatory activities for DORA, in July 2022 the ESAs have performed a first data collection exercise of the ICT landscape of a subset of financial entities in scope of DORA considering the definitions included in the commission proposal of DORA regulation.

#### D. Options considered

In the process of developing the ITS a holistic approach was necessary to develop the templates of the register of information. The key drivers taken into account while evaluating the options outlined below are listed below:

- (i) the requirements of DORA, particularly the one requiring financial entities to include in the register of information all contractual arrangements concerning ICT services;
- (ii) the principle of proportionality,
- (iii) the need to define templates valid both at entity and sub-consolidated and consolidated level, considering the broad population of financial entities in scope of DORA, the requirements of the accounting directive and of the prudential regulations, where applicable;
- (iv) the need to be able to aggregate information contained in the register of information at group (by the financial entities part of a group), national (by the CAs) and European (by the ESAs) level.

## POLICY ISSUE 1: SCOPE IN TERMS OF CONTRACTS OF THE REGISTER OF INFORMATION

### *Options considered*

**Option A:** include all contractual arrangements concerning all ICT services provided to FEs by ICT third party service providers

**Option B:** include contractual arrangements concerning only ICT services provided to FEs by ICT third party service providers supporting critical or important functions.

### *Cost-benefit analysis*

Article 28(3) of Regulation (EU) 2022/2554 specifies that the scope of the register of information shall cover all contractual arrangements on the use of ICT services provided by ICT third-party service provider. Therefore, the option of considering as part of the scope only ICT third party service providers providing ICT services supporting critical or important functions would not comply with the level 1 text.

### *Preferred option*

Option A has been retained.

## POLICY ISSUE 2: STRUCTURE OF THE REGISTER OF INFORMATION

### *Options considered*

**Option A:** develop a set of minimum level of harmonised templates to cover the three purposes of the register of information as described in paragraph 4 of the policy objectives, encouraging financial entities to complement the register of information for ICT risk management purpose.



**Option B:** develop a set of prescriptive detailed templates to cover the three purposes of the register of information as described in paragraph 4 of the policy objectives.

#### *Cost-benefit analysis*

The register of information shall serve three different purposes, as described in paragraph 4 of the policy objectives, for a large number of FEs and CAs. In assessing the viability of this option, the ESAs have considered: (i) the different maturity of FEs in relation to their internal third-party risk management, (ii) the different business models and risk profile of the FEs in scope of DORA; and (iii) the principle of proportionality. Furthermore, in assessing this policy option the ESAs have considered that (i) the scope of the register of information (i.e. the contractual arrangements concerning ICT services) covers a high number of elements evolving over time and (ii) the FEs retain the ultimate responsibility in relation to the compliance with their obligations set out in DORA and other relevant applicable financial regulations. Finally, the ESAs have considered the need to define an harmonised set of templates to foster effective supervisory convergence in the area of third-party risk management supervision and to enable a structured shared of information for DORA oversight purposes.

#### *Preferred option*

Option A has been retained.

### **POLICY ISSUE 3: CONTRACTUAL STRUCTURE AND DOCUMENTATION**

#### *Options considered*

**Option A:** Prescribe fields covering information on the contractual structure (documentation management)

**Option B:** Not including information on the contractual structure (documentation management)

#### *Cost-benefit analysis*

The objective of the register of information is to capture functions from the FEs and establish a link between those functions and the ICT TPPs, among other objectives. This can be achieved without imposing specific requirements for FEs to report the structure of the documents composing the different types of contractual arrangements and the relationships between them. Furthermore, it appears that option A would create a burdensome requirement with limited benefits concerning the three main purposes of the register of information.

#### *Preferred option*

Option B has been retained.

### **POLICY ISSUE 4: DEVELOP THE TEMPLATES AS FLAT TABLE OR USING A RELATIONAL STRUCTURE**

#### *Options considered*

**Option A:** establishing the register of information templates as a unique flat table

**Option B:** establishing the register of information templates as a relational structure

#### *Cost-benefit analysis*

Leveraging on the lessons learned from the different exercise of data collection of outsourcing registers, the templates established are designed in a technology-neutral manner building up on open flat tables. Linking the templates to one another by using different specific keys to form a relational structure between them appears appropriate to avoid having multivalued datapoints, inconsistencies or excessively voluminous repetitions of rows in terms of data management perspective.

#### *Preferred option*

Option B has been retained.

## POLICY ISSUE 5: USE OF THE LEI CODE TO IDENTIFY FINANCIAL ENTITIES AND ENTITIES PART OF GROUPS

### *Options considered*

**Option A:** consider the LEI as a unique identifier for all financial entities and entities part of groups

**Option B:** consider other type of identifier for those entities

### *Cost-benefit analysis*

In order to enable the CAs, the OF, and the ESAs to fulfill their duties under DORA, it is necessary to consistently and unambiguously identify financial entities and ICT third-party providers both at the national and international levels. Unlike national codes or company names, the legal entity identifier (LEI) provides a means for such unambiguous identification. The use of LEIs enhances the quality and timeliness of aggregated data and aims to reduce the reporting burden for entities that must report. Additionally, it is noted that a significant part of the FEs in scope of DORA are currently using a LEI for various purposes including for prudential supervisory reporting where applicable. For the FEs which have still not procure for themselves a valid LEI, the option A seems to be proportionate given the limited annual cost for procuring a valid LEI. Therefore, it seems appropriate to require all the financial entities to procure and maintain a valid LEI for themselves.

### *Preferred option*

Option A has been retained.

## POLICY ISSUE 6: USE OF THE LEI CODE TO IDENTIFY ICT THIRD-PARTY SERVICE PROVIDERS

### *Options considered*

**Option A:** consider the LEI as a unique identifier for all ICT third-party providers

**Option B:** consider the LEI as a unique identifier for all ICT third-party providers that are legal person except individuals acting in a business capacity.

**Option C:** not consider the LEI as a unique identifier for all ICT third-party providers

### *Cost-benefit analysis*

To enable the Competent Authorities, the Oversight Forum and the ESAs to carry out their duties as stemming from DORA, it is necessary to unambiguously and consistently identify financial entities and ICT third-party providers both at national and international level. In contrast to national codes or company names, the concept of the legal entity identifier (LEI) allows for such unambiguous identification. The use of LEIs improves the quality and timeliness of aggregated data and is aimed at reducing the reporting burden for reporting entities. Given the objectives as outlined above and considering the limited annual cost for procuring a valid LEI, it seems appropriate to the ICT third-party service providers that are legal persons to procure for themselves a valid LEI. However, considering both the principle of proportionality and that individuals acting in a business capacity are unlikely to be designated as CTPPs, there is no need for them to procure for themselves a LEI.

### *Preferred option*

Option B has been retained.

## **POLICY ISSUE 7: DETAIL OF INFORMATION REQUIRED IN THE REGISTER OF INFORMATION**

### *Options considered*

**Option A:** request FEs to include in the register of information the results of their risk assessment and due diligence for all ICT third-party services providers regardless if the ICT service supports a critical or important function or not.

**Option B:** request FEs to include in the register of information the results of their risk assessment and due diligence for all ICT third-party services providers regardless only if the ICT service supports a critical or important function.

### *Cost-benefit analysis*

Regulation (EU) 2022/2554 requires FEs to include information on all ICT services provided by third-party service providers in the register of information. The register of information is designed to serve three different policy objectives, as described in paragraph 4. For a large number of FEs and CAs, Option B reduces the effort required to include information on risk assessments for third-party providers supporting critical or important functions, while still maintaining a risk-based approach regarding ICT third-party risks. This option is proportionate as it considers the varying levels of dependency FEs have on ICT third-party service providers. FEs that depend on a significant number of ICT third-party service providers have more information to report in the register of information than FEs depending on a small number of ICT third-party service providers. Requiring FEs to include information on all ICT services provided by third-party service providers, regardless of whether they support critical or important functions, would not be proportionate and could be burdensome for FEs. Option B strikes a balance between both aspects, making it the most appropriate choice.

### *Preferred option*

Option B has been retained.

## **POLICY ISSUE 8: ICT SERVICE SUPPLY CHAIN**

### *Options considered*

**Option A:** include all subcontractors in ICT service supply chains

**Option B:** include all material subcontractors in ICT service supply chains when supporting critical or important functions

### *Cost-benefit analysis*

Article 30(2)(a) of Regulation (EU) 2022/2554 requires that the contractual arrangements on the use of ICT services includes a clear and complete description of all functions and ICT services to be provided by the ICT third-party service provider, indicating whether subcontracting of an ICT service supporting a critical or important function, or material parts thereof, is permitted and, when that is the case, the conditions applying to such subcontracting. In addition to be in line with the article above-mentioned, option B follows a risk-based approach and appears proportionate regarding the level of dependency of the critical or important functions to ICT TPPs. Therefore, option B seems the most appropriate option.

#### *Preferred option*

Option B has been retained.

### **POLICY ISSUE 9: TAXONOMY FOR FUNCTIONS**

#### *Options considered*

**Option A:** define a taxonomy for for each type of financial entity as defined in article 2 of Regulation (EU) 2022/2554

**Option B:** do not defined a taxonomy for for each type of financial entity as defined in article 2 of Regulation (EU) 2022/2554 and let FEs to use their internal-breakdown for functions

#### *Cost-benefit analysis*

Defining a taxonomy for functions at EU level would support Supervisory convergence, clarity and harmonisation. However, given the constraints of the scope of the register of information and considering certain regulations such as CRR, some FEs are already required to define their internal taxonomy for functions (for operational risk management purpose in the case of CRR). Considering this the ESAs decided to adopt option B. This decision might be reviewed following the first years of

implementation of the Register of Information given the importance of harmonisation and convergence in this area.

### *Preferred option*

Option B has been retained.

## **POLICY ISSUE 10: DATE OF APPLICATION**

### *Options considered*

**Option A:** Align with the date of application of Regulation EU 2022/2554 (DORA)

**Option B:** Taking into account the effort from the FEs to implement the register of information especially regarding the inclusion of all the existing contractual arrangements at the date of entrance into application

### *Cost-benefit analysis*

Option B would avoid defining a specific timeline (i.e. presumption that the register of information is in place as of 17 January 2025 for all existing and new arrangements in place at that date).

FEs will need to implement the future requirements of the ITS both to new and pre-existing contractual arrangements. The ITS will need necessarily to clarify the timeline of this implementation for the FEs considering on:

- the complexity for the FEs to populate the register (particularly with reference to the pre-existing arrangements) as the level of granularity and complexity of each contractual arrangement considering the type and number of ICT services provided, functions supported, stakeholders involved, etc. differs one from each other;

- the implication that a delayed timeline will have on the effective entry into force of the DORA Oversight Framework (being the register of information the key data source for designation).

It appears proportionate to provide some room for manoeuvre for the FEs to include pre-existing contractual arrangements in the register of information.

While it is essential to weigh these factors, the ITS shall legally comply with the date of application of the level 1 text such as aligning with the date of application of Regulation EU 2022/2554 (DORA) – Option A.

#### *Preferred option*

Option A has been retained (legal compliance).

### **POLICY ISSUE 11: RECORDING OF TERMINATED CONTRACTUAL ARRANGEMENTS**

#### *Options considered*

Option A: require financial entities to only keep information in relation to ongoing contractual arrangements on services that are actively provided at reporting time

Option B: require financial entities to keep information in relation to contractual arrangements that have been terminated since the last submission of the register of information

Option C: require financial entities to keep information in relation to contractual arrangements that have been terminated for 3 years

Option D: require financial entities to keep information in relation to contractual arrangements that have been terminated for 5 years

#### *Cost-benefit analysis*



As key part of their internal audit trail, financial entities should keep track of the terminated contractual arrangements. This information on the past contracts would also enable the CAs to monitor financial entities’ contractual policy with third-party, management of third-party risks over time and outsourcing strategy.

*Preferred option*

Option D has been retained.

**OVERALL COST-BENEFIT ANALYSIS**

Overall, the ITS on the register of information will bring the financial entities, CAs and ESAs/OF both costs in terms of implementation and benefits in terms of better awareness and understanding of ICT third-party dependencies of financial entities and ICT third-party risks , and ultimately ensuring financial stability of the system.

The costs and benefits are listed in Table 3 below

**Table 3: Cost and benefits of the ITS on register of information**

Stakeholder groups affected	Costs	Benefits
<b>Financial entities</b>	<p>Costs related to the changes in processes and infrastructure to implement, maintain and update the register of information.</p> <p>In relation to the first implementation, it is noted that certain type of financial entities may experience costs to populate the register with information on existing contractual arrangements at the date of entrance into application.</p>	<p>Awareness and monitoring of risks stemming from ICT-third party arrangements including those relating to ICT service supply chains.</p> <p>Benefitting from harmonised templates at EU level, which aims at simplifying the supervisory dialogue cross-border and cross-sector.</p>

Stakeholder groups affected	Costs	Benefits
<b>Competent authorities</b>	<p>Costs related to the processing of additional flow of information related to the register of information.</p> <p>Review of the supervisory processes on outsourcing to include the specifications relating to DORA.</p>	<p>Harmonised information across MSs and across sectors, that will facilitate the analysis and discussions of the relevant risks (including concentration risks).</p> <p>Enhanced supervisory awareness of ICT third-party dependencies..</p>
<b>European Supervisory Authorities</b>  <b>Oversight Forum</b>	<p>Costs related to the processing of additional flow of information related to the register of information.</p>	<p>Improved EU-wide awareness and management of ICT third-party risk management risks.</p> <p>Access to a harmonised dataset of information to enable analysis at EU level including relating to the designation of the CTPPs in scope of DORA oversight.</p>

Overall, benefits of the ITS are assessed as being significantly higher and relevant for all the stakeholders involved, compared to the costs.

## Overview of questions for consultation

1. Can you identify any significant operational obstacles to providing a Legal Entity Identifier (LEI) for third-party ICT service providers that are legal entities, excluding individuals acting in a business capacity?
2. Do you agree with Article 4(1)b that reads ‘the Register of Information includes information on all the material subcontractors when an ICT service provided by a direct ICT third-party service provider that is supporting a critical or important function of the financial entities.’? If not, could you please explain why you disagree and possible solutions, if available?
3. When implementing the Register of Information for the first time:
  - What would be the concrete necessary tasks and processes for the financial entities?
  - Are there any significant operational issues to consider?

Please elaborate.

4. Have you identified any significant operational obstacles for keeping information regarding contractual arrangements that have been terminated for five years in the Register of Information?
5. Is Article 6 sufficiently clear regarding the assignment of responsibilities for maintaining and updating the register of information at sub-consolidated and consolidated level?
6. Do you see significant operational issues to consider when each financial entity shall maintain and update the registers of information at sub-consolidated and consolidated level in addition to the register of information at entity level?
7. Do you agree with the inclusion of columns RT.02.01.0041 (Annual expense or estimated cost of the contractual arrangement for the past year) and RT.02.01.0042 (Budget of the contractual arrangement for the upcoming year) in the template RT.02.01 on general information on the contractual arrangements? If not, could you please provide a clear rationale and suggest any alternatives if available?

8. Do you agree that template RT.05.02 on ICT service supply chain enables financial entities and supervisors to properly capture the full (material) ICT value chain? If not, which aspects are missing?
9. Do you support the proposed taxonomy for ICT services in Annex IV? If not, please explain and provide alternative suggestions, if available?
10. Do you agree with the instructions provided in Annex V on how to report the total value of assets and the value of other financial indicator for each type of financial entity? If not, please explain and provide alternative suggestions?
11. Is the structure of the Register of Information clear? If not, please explain what aspects are unclear and suggest any alternatives, if available?
12. Do you agree with the level of information requested in the Register of Information templates? Do you think that the minimum level of information requested is sufficient to fulfill the three purposes of the Register of Information, while also considering the varying levels of granularity and maturity among different financial entities?
13. Do you agree with the principle of used to draft the ITS? If not, please explain why you disagree and which alternative approach you would suggest.
14. Do you agree with the impact assessment and the main conclusions stemming from it?

In addition to the consultation questions above, for each column of each template of the register of information, the following is asked:

- a) Do you think the column should be kept? Y/N
- b) Do you see a need to amend the column? Y/N
- c) Comments in case the answer to question (a) and/or question (b) "No".