

Banc Ceannais na hÉireann Central Bank of Ireland

Eurosystem

# PCF IN-SITU RETURN GUIDANCE ON AMENDMENTS TO THE LIST OF PRE-APPROVAL CONTROLLED FUNCTIONS (PCFs)

May 2022

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### Section 1: Introduction

#### 1.1 Purpose of this Guidance

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Section 22 of the Central Bank Reform Act 2010 enables the Central Bank of Ireland (the Central Bank) to prescribe by regulation pre-approval controlled functions (PCFs).

The Central Bank considers a number of amendments to the PCF list is warranted on the basis of its supervisory experience of the use of a number of current PCFs (i.e. PCF-2 Non-executive director, PCF-15 Head of Compliance with responsibility for Anti-Money Laundering and Counter Terrorist Financing Legislation, PCF-30 Chief Investment Officer and PCF-31 Head of Investment) and in view of the changing structure of, and landscape surrounding, the Irish financial services industry (in the context of PCF-16 Branch Manager of branches in other EEA countries).

With the exception of the removal of PCF-31 (which is relevant to investment firms only), the proposed amendments to the PCF list will be applicable to all Irish Regulated Financial Service Providers (RFSPs) other than credit unions.

PCF	Description
PCF-2	Office of Non-Executive Director
PCF-2A	Office of Non-Executive Director
PCF-2B	Office of Independent Non-Executive Director
PCF-3	Office of chair <del>man</del> of the board
PCF-4	Office of chairman-of the audit committee
PCF-5	Office of chairman of the risk committee
PCF-6	Office of chairman of the remuneration committee
PCF-7	Office of chairman of the nomination committee
PCF-15	Head of Compliance with responsibility for Anti-Money Laundering and Counter Terrorist Financing Legislation
PCF-16	Branch managers of branches established outside the State in other EEA countries
PCF-31	Head of Investment
PCF52	Head of Anti-Money Laundering and Counter Terrorist Financing Compliance

The changes involve:

- Splitting the existing PCF-2 Non-executive director into PCF-2A Non-• executive director and PCF2-B Independent non-executive director (under the 'General' category);
- Amending the titles of the roles which relate to the chairing of a board or • committee i.e. PCF-3 - PCF-7 (under the 'General' category);
- Expanding PCF-16 Branch Manager of branches in other EEA countries to include branch managers in non-EEA countries (under the 'General' category);
- Removing the existing PCF-15 Head of Compliance with responsibility for Anti-٠ Money Laundering and Counter Terrorist Financing Legislation (under the 'General' category);
- Removing PCF-31 Head of Investment (under the 'Investment Firms' category); • and
- Introducing PCF-52 Head of Anti-Money Laundering and Counter Terrorist • Financing Compliance (under the 'General' category).

The PCF application form (Individual Questionnaire - IQ) has been amended to allow new applicants apply for these roles via the Central Bank's Online Reporting (ONR) System.

For those persons already performing the new roles on 05 April 2022, a combination of an automated process and a consolidated In-Situ process is available, so that those persons do not have to submit an IQ. One ONR return is available for all In-Situ scenarios.

This guidance document sets out how a RFSP can notify the Central Bank of the individuals who were in-situ in the PCF2B, PCF12, PCF52 and PCF16 roles as at 05 April 2022, i.e. via the 'PCF In-Situ Return - 2022 Regulations' return (the PCF In-Situ Return).

The PCF In-Situ Return will be available via ONR from 18 May 2022, and will close on 30 June 2022. The return will be removed for any Firms that did not make a submission.



## Section 2: Overview of Requirements

#### 2.1 Information to be provided via PCF In-Situ Return

PCF	Applicable PCF In-Situ Return Process
PCF-2	All PCF-2s will be re-designated as PCF-2A. RFSPs are required to notify the Central Bank which individuals should be designated as PCF-2B by <b>30 June 2022.</b>
PCF-3	No action required; title will be automatically amended.
PCF-4	No action required; title will be automatically amended.
PCF-5	No action required; title will be automatically amended.
PCF-6	No action required; title will be automatically amended.
PCF-7	No action required; title will be automatically amended.
PCF-12	No action required.
PCF-15	All individuals designated as PCF-15 will have this designation end- dated. RFSPs will be required to notify the Central Bank of the appropriate PCF designation(s) of the individual i.e. either or both PCF- 12 and PCF-52 by <b>30 June 2022</b> .
PCF-16	No action required from RFSPs within which an individual holds an existing PCF-16 designation. RFSPs now captured by the expansion of PCF-16 (i.e. branches outside of the EEA) are required to review their assessment under Section 21 of the Central Bank Reform Act 2010 in respect of individuals in situ and submit confirmation of such an assessment to the Central Bank by <b>30 June 2022</b> .
PCF-31	No action required – all individuals who are PCF-31 will automatically be re-designated as a PCF-30.
PCF-52	Where an RFSP determines that it is appropriate for an individual designated as PCF15 to be re-designated as PCF-52 as set out above, RFSPs will be required to notify the Central Bank accordingly. In all other cases, an RFSP should review its functions and determine whether any would meet the Head of Anti-Money Laundering and Counter Terrorist Financing compliance role. Where it is determined by the RFSP that this role does exist, the RFSP will be required to review their assessment under Section 21 of the Central Bank Reform Act 2010 in respect of individuals in situ and submit confirmation of such an assessment to the Central Bank by <b>30 June 2022</b> .

Regulated Financial Services Providers (RFSP) are required:

- to complete a "PCF In-Situ Return File", which has been provided by the Central Bank;
- to upload the file to the Central Bank's Online Reporting (ONR) System under the 'PCF In-Situ Return – 2022 Regulations' option;
- to provide confirmation that the information is correct selecting the tick box and stating the necessary due diligence has been performed; and
- to submit the file and confirmation to the Central Bank via the ONR System.

For instructions on completing the PCF In-Situ Return File, please see Section 3 of this guidance.

#### 2.2 Submission Method

The ONR is a web-based application through which RFSP with account logins can submit the **PCF In-Situ Return File** and provide confirmation of due diligence undertaken via the PCF In-Situ Return.

Where a RFSP user has a Fitness and Probity Business Administrator account for the ONR, and where the RFSP comes within the scope of the 2022 Regulations, the **'PCF In-Situ Return – 2022 Regulations'** return will be available for them to select and complete.

If the RFSP requires a change to the user(s) who have access to the Fitness and Probity section of the ONR, the RFSP should complete and submit the New Fitness and Probity Business Administrator Request Form which is available on the Central Bank website <u>here</u>.

For detailed information on submitting via the ONR please see Section 4 of this guidance.

The 'PCF In-Situ Return – 2022 Regulations' return will only be available until 30 June 2022.

### Section 3: PCF In-Situ Return File

#### 3.1 Completing the PCF In-Situ Return File

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- RFSP's must submit this PCF In-Situ Return File containing information relating to each holder of a PCF role, which relates to the In-Situ process for the new Regulations introduced on 05 April 2022.
- Both the Online Reporting System (ONR) and the Central Bank of Ireland website ٠ upload mechanisms will not permit Institutions to upload any file other than a completed and saved version of this PCF In-Situ Return File.

#### The PCF In-Situ Return File includes the following four worksheets:

- 1. "Cover" provides guidance on the indication of any errors or omissions made, if any, when completing the PCF worksheet
- 2. "PCF" To be completed by the Firm and requires information on each the PCF Roles = PCF2B, PCF12, PCF52 and PCF16
- 3 "Data Validation" - highlights which inputs to the cells on the PCF Information file are correct or incorrect as the case may be.
- 4. "Instructions" provides guidance on completion, correcting errors and uploading of the PCF In-Situ Return File.

#### The PCF worksheet must be completed as follows:

- PCF PCF role within the RFSP, PCF role must be selected from the options in • the drop down menu.
- The PCFs are as specified in the 'PCF In-Situ Return 2022 Regulations'. These PCF roles are listed in Appendix 1 of this document.

Once a PCF role has been selected, all other fields are mandatory (marked with asterisk) with the exception of the Address Lines 2, Address Line 3, Start Date (which is autopopulated) and End Date. A maximum of 100 characters is permitted in each field.

### The PCF In-Situ Return File is complete when the following fields are provided for each PCF role held:

PCF - PCF role within the RFSP, PCF role must be selected from the options in the drop down menu.

Title - For the PCF role holder, the title of Doctor, Miss, Mr, Mrs or Ms. must be selected from the drop down menu.

**Forename** – The forename of the PCF role holder must be provided in full. A maximum of 100 characters will be permitted.

**Surname** – The surname of the of the PCF role holder must be provided in full. A maximum of 100 characters will be permitted.

**Date of Birth** – The date of birth of the of the PCF role holder must be provided in the format of dd/mm/yyyy.

Address Line 1 – The 1st line of the primary residential address of the of the PCF role holder must be provided. A maximum of 100 characters will be permitted.

Address Line 2 – The 2nd line of the primary residential address of the PCF role holder can be provided if necessary. A maximum of 100 characters will be permitted.

Address Line 3 – The 3rd line of the primary residential address of the of the PCF role holder can be provided if necessary. A maximum of 100 characters will be permitted.

**Town or City** – The town or city of the primary residential address of the PCF role holder must be provided. A maximum of 100 characters will be permitted.

**Country** – The country of the primary residential address of the of the PCF role holder must be selected from the drop down menu.

**Email Address** – A valid email address at which the of the PCF role holder may be contacted must be provided. A maximum of 100 characters will be permitted.

Start Date - Automatic fields - not editable - and prepopulated to 5 April 2022

**End Date** - Complete where appropriate (i.e. where an individual was performing the role at the time of the introduction of the regulations however has since left the position)

Due Diligence Performed - required for PCF52 where no approval for PCF15 was in place on 05 April 2022 and PCF16.

**Due Diligence Not Required** - Applicable for PCF12 and PCF52 where the individual held PCF15, and PCF2B where the individual held PCF2 on the introduction of the new Regulations. This field will be automatically updated on completion of the previous field.

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3	APPROVAL CONTROLLED FUNCTIONS (PCFs)	Ireland
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#### Figure 1: Example of PCF In-Situ Return File

ABCDEFGH	I J K L	M N	0
PCF * Title * Forename * Surname * Date Of Birth * (dd/mm/yyyy) Address Line 1 * Address Line 2 Address Line 3 Town)	n/City * Country * Email Address * Start Date * (dd/mm/yyyy) E	ind Date (dd/mm/yyyy) Due Diligence Performed *	Due Diligence Not required

Once the mandatory fields have been completed, both "Cover" and "Data Validation" worksheet tabs should be checked to identify any errors or omissions.

#### Example

1. The "Cover" worksheet indicates that the PCF In-Situ Return File contains one error i.e. Return Status: Invalid. The User must click on the cell showing the total number of errors identified, under Data Errors header, which will divert them to the "Data Validation" worksheet (see example in Figure 2a showing number of errors).

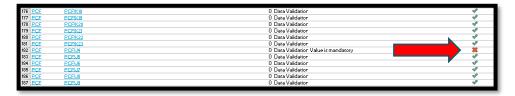
#### Figure 2a: Example of PCF In-Situ Return File Error

Format       Code       Status       Number of Errors       Data Error         PCF       Invalid       1       1         PCF       Invalid       1       1         Invalid       1       1         ColdeClines For Using This Workbook         Detection of the Worksheet (and Target Cell) columns to view rules relating to specific areas of the return.         - Filter by the Worksheet (and Target Cell) columns to view rules relating to specific areas of the return.         - Filter the Rule Validation column to view only broken rules [0=broken, 1=valid]         - Avage refress this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes         Moreover page, the hyperlinks directly to specific Worksheets or Target Cells by clicking on the blue underlined text in the Worksheet and Target Cell column         - You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the blue underlined text in the Worksheet and Target Cell column         - On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets         - Error         - Intariotic in the ruturn have passed, the Return Status will display "Valid"         - Avaid ta reas of this workbook have been password protected / locked by the Central Bank of Ireland. Only cells required fo		Return Status: Invalid
Guidelines For Using This Workbook         Filtering View         • Filter by the Worksheet (and Target Cell) columns to view rules relating to specific areas of the return.         • Filter the Rule Validation column to view only broken rules [0=broken, 1=valid]         • Always refresh this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes         Mavigation         • You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the blue underlined text in the Worksheet and Target Cell colum         • On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets         Interpreting Rule Information         • If all rules in the return have passed, the Return Status will display "Valid"         • Rules that have passed will have a green tick in the Rule Validation column.         • Rules that have failed will have a red X in the Rule Validation column.	Format	Code Status Number of Errors Data Error
Filtering View         - Filter by the Worksheet (and Target Cell) columns to view rules relating to specific areas of the return.         - Filter the Rule Validation column to view only broken rules [0=broken, 1=valid]         - Always refresh this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes         Navigation         - You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the blue underlined text in the Worksheet and Target Cell columne.         - On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets         Interpreting Rule Information         - If all rules in the return have passed, the Return Status will display "Valid"         - Rules that have passed will have a green tick in the Rule Validation column.         - Rules that have failed will have a red X in the Rule Validation column.	PCF	PCF Invalid 🗱 1 🧕 1
Filtering View         - Filter by the Worksheet (and Target Cell) columns to view rules relating to specific areas of the return.         - Filter the Rule Validation column to view only broken rules [0=broken, 1=valid]         - Always refresh this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes         Navigation         - You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the blue underlined text in the Worksheet and Target Cell columne.         - On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets         Interpreting Rule Information         - If all rules in the return have passed, the Return Status will display "Valid"         - Rules that have passed will have a green tick in the Rule Validation column.         - Rules that have failed will have a red X in the Rule Validation column.		
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<ul> <li>Filter the Rule Validation column to view only broken rules [0=broken, 1=valid]</li> <li>Always refresh this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes <u>Navigation</u> <ul> <li>You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the <u>blue underlined text</u> in the Worksheet and Target Cell column</li> <li>On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets </li> <li>Interpreting Rule Information <ul> <li>If all rules in the return have passed, the Return Status will display "Valid"</li> <li>Rules that have passed will have a green tick in the Rule Validation column.</li> </ul> </li> </ul></li></ul>	Filtering View	
<ul> <li>Always refresh this filter after you have changed data in order to ensure you view any new Rule breaks occurring as a result of changes Navigation</li> <li>You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the <u>blue underlined text</u> in the Worksheet and Target Cell colum</li> <li>On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets</li> <li>Interpreting Rule Information</li> <li>If all rules in the return have passed, the Return Status will display "Valid"</li> <li>Rules that have passed will have a green tick in the Rule Validation column.</li> <li>Rules that have failed will have a red X in the Rule Validation column.</li> </ul>	- Filter by the Worksheet (and Target Cell)	columns to view rules relating to specific areas of the return.
Navigation         - You can follow hyperlinks directly to specific Worksheets or Target Cells by clicking on the <u>blue underlined text</u> in the Worksheet and Target Cell colum         - On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets         Interpreting Rule Information         - If all rules in the return have passed, the Return Status will display "Valid"         - Rules that have passed will have a green tick in the Rule Validation column.         - Rules that have failed will have a red X in the Rule Validation column.	- Filter the Rule Validation column to view	only broken rules [0=broken, 1=valid]
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<ul> <li>On the cover page, the hyperlinks in the Data Errors columns will bring you directly to the corresponding validation sheets Interpreting Rule Information <ul> <li>If all rules in the return have passed, the Return Status will display "Valid"</li> <li>Rules that have passed will have a green tick in the Rule Validation column.</li> <li>Rules that have failed will have a red X in the Rule Validation column.</li> </ul></li></ul>		
Interpreting Rule Information - If all rules in the return have passed, the Return Status will display "Valid" - Rules that have passed will have a green tick in the Rule Validation column. - Rules that have failed will have a red X in the Rule Validation column.		
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<ul> <li>Rules that have passed will have a green tick in the Rule Validation column.</li> <li>Rules that have failed will have a red X in the Rule Validation column.</li> </ul>	Interpreting Rule Information	
- Rules that have failed will have a red X in the Rule Validation column.	- If all rules in the return have passed, the	Return Status will display "Valid"
	- Rules that have passed will have a green	tick in the Rule Validation column.
Note : All areas of this workbook have been password protected / locked by the Central Bank of Ireland. Only cells required for data input are unlocked.		a the Pule Validation column
Note : All areas of this workbook have been password protected / locked by the Central Bank of Ireland. Only cells required for data input are unlocked.	- Rules that have failed will have a red X in	The Rule valuation column.
Note : All areas of this workbook have been password protected / locked by the Central Bank of Ireland. Only cells required for data input are unlocked.	- Rules that have failed will have a red X ir	The Rule variation column.
	- Rules that have failed will have a red X ir	r ne kuis vanaation coluini.

2. The User must scroll through the worksheet to identify errors, which are shown in column F (see example in Figure 2b).

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#### Figure 2b: Example of PCF In-Situ Return File Error



3. The User must click on the cell in Column B in the same row where an error has been identified (see example in Figure 2c).

#### Figure 2c: Example of PCF In-Situ Return File Error

176 PCE	PCFIK18	0 Data Validation	×
177 PCF	PCFIK19	0 Data Validation	~
178 PCF	PCFIK20	0 Data Validation	~
179 PCF	PCFIK21	0 Data Validation	✓
180 PCF	PCFIK22	0 Data Validation	✓
181 PCF	PCEK23	0 Data Validation	Ŷ
182 PCF	PCEU4	0 Data Validation Value is mandatory	*
183 PCF	PCEN5	0 Data Validation	Ŷ
184 PCF	PCFU6	0 Data Validation	Ŷ
185 PCF	PCFN7	0 Data Validation	Ŷ
186 PCF	PCFU8	0 Data Validation	Ŷ
187 PCF	PCFU9	0 Data Validation	Ŷ

4. The User will be diverted to the location of the error on the PCF worksheet (see example in Figure 2d showing blank in mandatory field).

#### Figure 2d: Example of PCF In-Situ Return File Error



5. The error must be corrected (e.g. blank field must be completed) (see example in Figure 2d showing blank in the Email address field)

Steps 2 to 5 must be performed for all the errors identified in the "Cover" worksheet.

#### 3.2 Note for persons holding two or more PCF roles

Where a person holds two or more of the PCF roles, each PCF role must be selected on an individual row and the remaining personal information provided.

#### 3.3 Mandatory Fields

The PCF In-Situ Return File will not be accepted if all mandatory fields for a selected PCF role has not been filled out. Where a PCF role has been selected in a row, all mandatory fields must be completed in that row in order for a submission to be accepted.

Where a PCF role has been selected all fields are mandatory with the exception of Address Line 2 and Address Line 3.

Once the mandatory fields have been completed for PCF role selected, the template will upload successfully and the PCF In-Situ Return can be signed off and submitted.

#### 3.4 Altering this PCF In-Situ return File

If any of the following actions are performed, the PCF In-Situ Return File will not be accepted by the upload system:

- Remove the security protection on this PCF Information File •
- Rename the worksheets •
- Add or delete worksheets
- Add or delete columns within the worksheets •

#### 3.5 Uploading this PCF In-Situ Return File

This PCF In-Situ Return File must be submitted through the Online Reporting System through a dedicated link on the Central Bank Website.

If the structure or format of this PCF In-Situ Return File has been altered in any way or this file is incomplete, the file will not be accepted by the upload mechanism on the Online Reporting System on Central Bank Website.

If a PCF In-Situ Return is uploaded where any of the mandatory fields are incomplete, an error email message will be sent specifying specific field containing the error. The upload will not be successful. To upload successfully, log back onto ONR and re-submit the PCF Information File with the specified errors rectified.

Note: The PCF In-Situ Return cannot be signed-off unless a PCF In-Situ Return File is successfully uploaded to ONR. When PCF Information File has been successfully uploaded a confirmation will be received.

#### 3.6 Saving the PCF In-Situ Return File

The PCF In-Situ Return File must be saved in a format outlined on the file upload screen on ONR (i.e. **C12345\_YYYYMMDD\_IQB** where C12345 is the RFSP login on ONR, YYYYMMDD is the reporting date, and IQB is the return type code) and then uploaded via ONR.

(The Institution Code used in the filename must correspond with the Institution Code used to log in to the ONR in order for the PCF In-Situ Return File to be accepted. The ONR System will also not recognise a file that has been altered in any way. For example, added or deleted worksheets or columns, removed field protection etc. <u>In addition, the file will not be accepted if all mandatory information for selected PCF role has not been provided</u>).

## Section 4: Submission of the PCF In-Situ Return

#### 4.1 Completing the Submission

Page 3

Once the PCF In-Situ Return File has been completed without error and saved using the prescribed filename format as per 3.6 above, it can be uploaded to the ONR System.

The PCF In-Situ Return File may only be uploaded and signed off by the Fitness and Probity Business Administrator in the Regulated Financial Services Provider.

The completed PCF In-Situ Return File must be saved to User's computer and then uploaded via ONR. The User must perform the following steps to upload the PCF Information File to the ONR:

- 1. Open a web browser and enter the address www.centralbank.ie
- 2. Click on Regulation at the top of the screen, and then click on the Log in to Online Reporting link on the bottom left of the page.

Banc Ceannais na hÉirea Central Bank of Ireland	NN HOME ABOUT NEWS	S & MEDIA EVENTS	CAREERS CONTACT	GAEILGE	SEARCH	Q
Eurosystem	Financial System 🗸	Monetary Policy	~ Regulation ^	Publication	ns ~ Statistics ~	Consumer Hub ~
Regulation						Close 🗙
How we regulate financial services in Ireland. <b>REGULATION OVERVIEW</b>	Regulation Overview How We Regulate Industry & Market Sectors Central Bank of Ireland Portal COVID-19 - Prudential Regulatory Flexibility Measures Anti-Money Laundering and Countering the Financing of Terrorism Consumer Protection Markets Update Protected Disclosures & Whistleblowing Unauthorised Firms Enforcement PSD2 Central Securities Depository Regulation (CSDR)	• • •				

#### Figure 3a: Submitting PCF In-Situ Return File

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3. The  $\operatorname{\textbf{Login}}$  to  $\operatorname{\textbf{Online}}$   $\operatorname{\textbf{Reporting}}$  page appears. Login credentials must be entered and

Login button must be clicked.

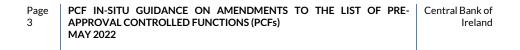
Figure 3b: Submitting PCF In-Situ Return File

Banc Ceannais na hÉireann Central Bank of Ireland Eurosystem				
Problems Logging In? Use the <u>Forgot Password</u> Facility.	Login to Online Rep	orting		
Contact your Firm Administrator. Contact the Online Reporting helpline at 01 224 4545 or email onlineretums@centralbank.ie	Institution Code: Login Name: Password:	Login	@Please enter your institution code           @Please enter your login name           @Please enter your password	

4. View/Edit Data must be selected.

Figure 3c: Submitting PCF In-Situ Return File

View / Edit Data View or edit return data
Administration Configure how your Institution uses the system.
My Profile View or update the information the system stores about you.
Messages View user messages
Requests View my requests
Manage User Accounts Setup new users, reset their passwords, etc.



5. PCF In-Situ Return - April 2022 Regulations link must be selected.

#### Figure 3d: Submitting PCF In-Situ Return File

Home			
Return Types	Fitness & Probity		
This page shows the types of	Name	Description	
data reported by your institution.	Individual Questionnaire	Individual Questionnaire	0
	PCF Information	PCF Information Return	0
(Only the return types which you have access to are shown here)	PCF In-Situ Return – April 2022 Regulations	PCF In-Situ Return – April 2022 Regulations	0
	PCF Resignation	PCF Resignation Return	0
Click on a return type name to view or enter data or to upload a file.			

6. The User will be presented with an online screen. **Load a File** option should be selected in order to upload the required PCF Information File.

#### Figure 3e: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Return – April 2022 Regulations						
Return Type Options	PCF In-Situ Return – April 2022 Regulations					
This page displays the options for the 'PCF In-Situ Return – April 2022 Regulations' return for your institution.	View / Signoff Returns Signoff or View data that was previously entered					
You can signoff data or view previously loaded data by clicking on the 'View / Signoff Returns' button.	View Uploaded Files View the files that were previously uploaded for this return					
You can view a history of all the files uploaded (whether 'accepted' or 'rejected') by clicking on the 'View Uploaded Files' button.	Load a File Load a data file for this return					
You can load a new file by clicking on the 'Load a File' button.						

7. The User must then click **Choose File** and locate the previously saved PCF In-Situ Return File, which should be named as prescribed earlier in Section 3.

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#### Figure 3f: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Return - April 2022 Regulations _load						
File Upload	Load a PCF In-Situ Return – April 2022 Regulations File					
On this page, you can load a file containing 'PCF In-Situ Return – April 2022 Regulations' data.	Select a file and click 'Load Choose File No file chosen					
The file name must be of the form:						
CCCCCC_YYYYMMDD_ IQB.xlsx						
CCCCCC - the institution code you use to log in to the system	Load File Cancel					
YYYYMMDD - must be the reporting date						
IQB - the IQB Return code						
xlsx - the file extension						

8. Once the file is located, the User must click the Load File button.

#### Figure 3g: Submitting PCF In-Situ Return File

File Upload	Load a PCF In-Situ Return – April 2022 Regulations File
On this page, you can load a file containing 'PCF In-Situ Return – April 2022 Regulations' data.	Select a file and click 'Load Choose File C130596_20220405_IQB.xlsx
The file name must be of the form:	
CCCCCC_YYYYMMDD_ IQB.xlsx	
CCCCCC - the institution code you use to log in to the system	Load File Cancel
YYYYMMDD - must be the reporting date	1
IQB - the IQB Return code	
xlsx - the file extension	

- 9. The User will receive an automated email confirming that the file has been accepted (If the file is rejected, steps 19 and 20 below must be referred to).
- 10. Once the email has been received (which should be within two minutes) the User must click on the **Refresh page** button in order to update the Status on the current ONR screen from 'Queued' to 'Accepted'.

#### Figure 3h: Submitting PCF In-Situ Return File

File Upload Status	PCF In-Situ Return – A	pril 2022 Regulations File #215156					
This page shows the result of uploading a file.	C130596_20220405_IQB.xlsx is queued and awaiting processing.						
	Filename:	C130596_20220405_IQB.xlsx					
	Status:	Queued					
	Estimated Time to Complete:	0 to 5 minutes					
	Return Type:	PCF In-Situ Return – April 2022 Regulations					
	Size:	79506 bytes					
	Uploaded Date:	25-Apr-2022 (14:36)					
	Processed Date:	N/A					
	Invalid Records:	0					
		Back Refresh page					
<u>Guidance Material</u> <u>Submit a Request</u>		Print current page         Collapse all Errors         Expand all Errors					

11. Once the file has been accepted, the User must select View/Sign-off Returns from

PCF In-Situ Return - April 2022 Regulations tab in order to finalise the return.

e Upload Strenger [View / Signoff Ret [View Uploaded Fil [View Uploaded Fil [View Uploaded Fil [Load a File] ading. stile.		rn – April 2022 Regulations File #215265
lidation didn't find any errors so	Filename:	C130596_20220406_IQB.xlsx
file has been 'accepted' and all data has been loaded.	Status:	Accepted
	Return Type:	PCF In-Situ Return – April 2022 Regulations
	Size:	79428 bytes
	Uploaded Date:	03-May-2022 (11:21)
	Processed Date:	03-May-2022 (11:21)
	Invalid Records:	0
		Back Refresh page Print current page Collapse all Errors Expand all Errors

### Figure 3i: Submitting PCF In-Situ Return File

#### 12. The User must click on the **Reporting Date**.

Figure 3j: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Returns								
This page shows all the 'PCF	Reporting Date	<u>Status</u>	Submission Due Date	Last Updated By	Last Updated			
In-Situ Return – April 2022 Regulations' returns entered	05-Apr-2022	Valid	12-Aug-2022	(Central Bank)	25-Apr-2022 (14:37)			
Regulations' returns entered by your institution.		÷						

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13. The User must then click on the Finalise button. The return is now ready to be signed-

off for submission to the Central Bank.

Figure 3k: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Return – April 2022 Regulations Returns > 05-Apr-2022							
Sections	PCF In-Si	itu Returr	n – April 2022	Regulations , 05-A	pr-2022 - Sections		
The 'PCF In-Situ Return – April	Section	<u>Status</u>	Required	Last Updated By	Last Updated		
2022 Regulations' return is divided into sections.	IQB	Valid	Mandatory	(Central Bank)	25-Apr-2022 (14:37)	2	0
Complete each section that applies to your institution and submit the return to the Central Bank .						Finalise	

14. The **Back** button must be clicked, which will navigate to the previous page.

#### Figure 31: Submitting PCF In-Situ Return File



15. The Sign -Off button must be clicked to proceed to the final sign-off stage

Figure 3m: Submitting PCF In-Situ Return File

Sections	PCF In-Si	tu Returr	n – April 2022	Regulations , 05-A	pr-2022 - Sections		
The 'PCF In-Situ Return – April	Section	<u>Status</u>	Required	Last Updated By	Last Updated		
2022 Regulations' return is divided into sections.	IQB	Valid	Mandatory	(Central Bank)	25-Apr-2022 (14:37)	2	0
Complete each section that applies to your institution and submit the return to the Central Bank .					ſ	Sign-Off	

16. Before signing-off the return, the User must accept the declaration statement contained in the **Sign-Off Return** screen by ticking the declaration boxes (Figure 3n refers). The declaration confirms that the information being provided in the uploaded file is correct.

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### Figure 3n: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Return - April 2022 Regulations Returns > 06-Apr-2022 > SignOff Return				
Sign Off Return Instance	um Instance Sign-Off Return			
	The Return is ready to be signed-off.			
	The PCF In-Situ Return – April 2022 Regulations return for the state of the Central Bank	off to complete the process of submitting data to		
	This return is due to be submitted by			
	After you sign-off the return, it will be 'locked' and you will no longer be able to make char by the Central Bank for revision).	nges (unless the return is subsequently unlocked		
	Declaration			
	To signify your acceptance of this statement, tick the box below:			
	C Once you have verified the correctness of the data to your satisfaction, click the 'Sign- Off Return' button below to sign-off the return and submit the data to the Central Bank. This will complete the	I declare that the information which has been entered for the PCF In-Situ Return – April 2022 Regulations return for 06-Apr- 2022 is complete and correct to		
Guidance Material	process of submitting the return (for this period).	the best of my knowledge.		
Submit a Request		Cancel Sign-off Return		

17. Once the declaration boxes have been ticked, the User must click on the **Sign-off Return** button.

#### Figure 3o: Submitting PCF In-Situ Return File

Home ) Data ) PCF In-Situ Return – April 2022 Regulations Returns ) 05-Apr-2022 ) SignOff Return		
Sign Off Return Instance Sign-Off Return		
	The Return is ready to be signed-off.	
	The PCF In-Situ Return – April 2022 Regulations return for 05-Apr-2022 must be 'signed- the Central Bank	-off to complete the process of submitting data to
	This return is due to be submitted by 12-Aug-2022.	
	After you sign-off the return, it will be 'locked' and you will no longer be able to make chai by the Central Bank for revision).	nges (unless the return is subsequently unlocked
	Declaration	
	To signify your acceptance of this statement, tick the box below:	
Guidance Material	Conce you have verified the correctness of the data to your satisfaction, click the 'Sign- Off Return' button below to sign-off the return and submit the data to the Central Bank. This will complete the process of submitting the return (for this period).	I declare that the information which has been entered for the PCF In-Situ Return – April 202 Regulations return for 05-April 2022 is complete and correct to the best of my knowledge.
Guidance Material Submit a Reguest		
<u>Submit a Request</u>		Cancel Sign-off Return

18. A confirmation message will appear to confirm that 'the return has been successfully signed off'. The return has now been submitted to the Central Bank. The User will also receive an email confirming the successful submission of the PCF In-Situ return.

#### Figure 3p: Submitting PCF In-Situ Return File

Home > Data > PCF In-Situ Return - April 2022 Regulations Returns > 05-Apr-2022 > SignOff Return		
Sign-Off Return		
The return has been successfully signed-off		
You have successfully 'signed-off the PCF In-Situ Return – April 2022 Regulations return for 05-Apr-2022 – it has now been submitted to the Central Bank.		
This return was successfully submitted by the 12-Aug-2022 deadline.		
This Return is 'locked', and can't be changed until it is unlocked for revision by the Central Bank .		
Use the back button to navigate to the previous page.		
Back		

19. If the file has not been completed in line with instructions set out in Section 3, it will

be rejected.

#### Figure 3q: Submitting PCF In-Situ Return File

File Upload Status	PCF In-Situ Return	– April 2022 Regulations File #215264
This page shows the result of uploading a file.		· · · · · · · · · · · · · · · · · · ·
Validation found errors which made the file impossible to process. It has been 'rejected' - no data has been loaded.	Filename:	C130596_20220406_IQB.xlsx
	Status:	Rejected
	Return Type:	PCF In-Situ Return – April 2022 Regulations
	Size:	79677 bytes
	Uploaded Date:	03-May-2022 (11:16)
	Processed Date:	03-May-2022 (11:16)
	Invalid Records:	1
		Back Refresh page
	Validation Errors	

20. The User must refer back to the 'Data Validation' worksheet on their previously saved PCF In-Situ Return File to identify errors that may have caused the rejection (If the file has no errors then the ONR Team should be contacted for assistance as per Section 5). Please refer to Section 3 for guidance on identifying and correcting errors. Once the errors have been corrected, step 1 to step 17 as outlined above must be completed in order to successfully upload the PCF In-Situ Return File.

### Section 5: Queries

The Regulatory Business Services Division (RBSD) in the Central Bank will manage all queries regarding the submission of PCF In-Situ Return. The contact number for queries is +353 1 224 4545. Alternatively, please either use the Submit a Request facility on the ONR (Figure 4 refers) or email onlinereturns@centralbank.ie

#### **Figure 4: Queries**

3

Home      Requests      Add uri	
Add Request	
This page is for submitting a query to our support team in the Central Bank related to a particular return.	Submit Request Request Type: Additional Details: Ask a Question
Select a request type, enter your request or query in the box provided and click Submit to action your request.	
Please note that Statistics and Market Supervision business related queries should continue to be forwarded to the relevant business area mailbox. See <u>'Contact Us'</u> page for applicable mailbox details.	Submit Cancel
Guidance Material Submit a Request	

### Appendix 1

List of PCF roles for use in the '**PCF In-Situ Return – 2022 Regulations'** PCF In-Situ Return File:

PCF	Description
PCF-2B	Office of Independent Non-Executive Director
PCF-12	Head of Compliance
PCF-16	Branch managers of branches outside the State
PCF52	Head of Anti-Money Laundering and Counter Terrorist Financing Compliance



Banc Ceannais na hÉireann Central Bank of Ireland

Eurosystem