

Addendum to the Central Bank of Ireland Fitness and Probity Individual Questionnaire

April 2023

Introduction

This purpose of this Addendum is to align the Central Bank of Ireland (‘Bank’) on line Individual Questionnaire (‘Individual Questionnaire’) with the European Central Bank (ECB) Fit and Proper Questionnaire adopted by the ECB Supervisory Board as the model to be used by National Competent Authorities. *Both the IQ and the Addendum will be considered as part of the section 23 or section 23A of the Central Bank Reform Act, 2010 assessment defined as the ‘the application’ or the ‘Individual Questionnaire’.*

The Addendum has been revised to request additional information from the Appointee and the Supervised Entity, which is not included in the Bank’s IQ:

1. Experience
2. Reputation and Conflicts of Interest
3. Collective Suitability (Board Appointments Only)
4. Function for which the Questionnaire is submitted,
5. Due Diligence

Instructions for Completion

This Addendum is to be:

* Completed for those PCF Roles in Significant Institutions which are not submitted through the ECB Portal and those in Less Significant Institutions.
* Completed in addition to the Individual Questionnaire.
* Uploaded as an attachment (via section 11) to the Individual Questionnaire.

**The Appointee and the Supervised Entity are jointly responsible for providing complete and accurate information regarding the proposed appointment.**

# Experience

Please provide the information below in addition the information supplied by the applicant in F&P Profile

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| * 1. If the Applicant does not have relevant experience, then please list below any compensating factors (e.g. size of entity; other relevant experience; degree/academic; proven ability to challenge; overall suitability; specialised knowledge; role-scale limited appointment; other special cases)
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| * 1. General banking experience as enumerated in Section 63 of the joint EBA/GL/2017/12
 | Assessment (high, medium-high, medium-low, low) |
| 1. banking and financial markets;
2. legal requirements and regulatory framework;
3. prevention of money laundering and terrorist financing
4. strategic planning, the understanding of a credit institution’s business strategy or business plan and accomplishment thereof;
5. risk management (identifying, assessing, monitoring, controlling and mitigating the main types of risk of a credit institution)
6. knowledge and experience of climate-related and environmental risks
7. accounting and auditing
8. assessing the effectiveness of a credit institution’s arrangements, ensuring effective governance, oversight and controls
9. interpreting a credit institution’s information, identifying key issues based on this information, and appropriate controls and measures
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| * 1. Other specialised experience (please enumerate)
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| * 1. Prior to the assumption of the function or within the first year of the assumption of the function, will the Applicant follow specific training?
 | [ ] YES [ ] NO |
| If answer above is “yes”, please provide details below  |
| Content of training | Training provided by (internal or name of external organisation) | From | To |
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# Reputation and Conflicts of Interest

Please provide the information below in addition the information supplied by the applicant in sections 5, 7, and 8 of the Individual Questionnaire

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| * 1. Are you currently involved in any legal proceedings against the Supervised Entity, the parent undertaking, or its subsidiaries, either directly or indirectly?
 | [ ] YES [ ] NO |
| If YES, please provide information on the content and status of the legal proceedings and the entity involved |

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| * 1. Do you, in any way, represent a shareholder of the Supervised Entity, the parent undertaking, or its subsidiaries?
 | [ ] YES [ ] NO |
| If YES, please provide the following information: |
| Name of the Shareholder | % Participation (in % of the capital and voting rights) | Nature of the representation |
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| * 1. Do you have any substantial financial obligation to the Supervised Entity, the parent undertaking, or its subsidiaries? [in principle, performing loans negotiated at arm’s length under €100,000 and performing private mortgages negotiated at arm’s length would generally not be considered as substantial]
 | [ ] YES [ ] NO |
| If YES, please provide the following information: |
| The type of the obligation | The value of the obligation | Relevant period of this obligation |
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| * 1. Do you have or did you have over the past 2 years a position with high political influence (either nationally or locally)?
 | [ ] YES [ ] NO |
| If YES, please provide the following information: |
| The nature of the specific position | The specific powers related to, or the obligations of, this position | The relationship between this position (or the entity where this position is held) and the Supervised Entity, the parent undertaking, or its subsidiaries  |
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# Collective Suitability (Board Appointments Only)

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| 1. How is the Applicant to be situated in the collective suitability of the Supervised Entity’s needs? Please explain why the (proposed) nomination complements the Supervised Entity’s business model and refer, where relevant, to the outcome of the most recent self-assessment of the collective suitability of the management body.
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| 1. Explain in general terms the weaknesses that have been identified in the management body’s collective composition and the extent to which the appointee contributes to solving some or all of these weaknesses.
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# Function for which the Questionnaire is submitted

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| 1. Please provide below as detailed a description of the main duties, responsibilities, and number of subordinates relating to the function in question. Please specify which other functions, if any, the person involved will exercise within the Supervised Entity.
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| Please also specify on which sub-committees of the management body or other (management) committees the Applicant will sit, if applicable.  |
| 1. Please give below additional details about the planned start date and the length of the term of office.
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| (Planned) Start date for the appointment |
| (Planned) Term of office |
| Is the Applicant replacing somebody else?  | [ ]  YES [ ] NO |
| If YES, who and why? |
| 1. Nature of the arrangement between the Applicant and the Supervised Entity
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| [ ]  Contract for services[ ]  Partner[ ]  Employee[ ]  Other – please explain:  |

# Due Diligence

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| Please upload (if applicable) the following accompanying documents  |
| [ ]  Criminal Record Check (where possible)[ ]  Board Minutes regarding the appointment (draft if final version not available yet) [ ]  Minutes of the Nomination Committee (draft if final version not available yet), any other minutes regarding the appointment and/or other records of suitability assessments conducted within the supervised entity [ ]  Board Minutes regarding the Appointment[ ]  Suitability reports (both individual and collective in the case of tasks performed in a collegiate body)[ ]  CV[ ]  Conflict of interest policy [ ]  Diversity policy [ ]  Other documents (in accordance with national specificities)  |