



The EUROPEAN SUPERVISOR EDUCATION INITIATIVE (ESE)

presents the

seminar

**“Current and best practices in recovery plan  
assessment”**

hosted by: Oesterreichische Nationalbank

Date: 07 - 08 June 2018

Venue: Vienna, Austria



## Description

The seminar introduces the participants to the main aspects of recovery plans. It starts off with discussing the rationale for demanding institutions to write recovery plans and gives an overview of the legal and regulatory foundations. Subsequently, individual approaches and best practices for dealing with recovery plans are presented from the SSM both for SIs and for LSIs. Day one ends with presentations of selected NCAs, both from within and outside of the SSM. The presentations will also highlight peculiarities in dealing with bank specificities (size of the institutions, calibration of capital indicators and connection with the risk appetite framework of banks, IPSEs, particular business models, ...) and highlight cooperation and cross-border aspects. A case study and subsequent discussion on typical challenges in recovery plans and how to overcome them concludes the seminar.

The seminar is scheduled for 1 ½ days on June 07 and 08 in Vienna. Besides the content, it will also provide for ample opportunities for networking and getting to know each other.

## Target Group

This seminar is aimed at experts from supervisory authorities and central banks with focus on stability and supervision of the banking industry and of financial markets and with an adequate level of expertise.



## PROGRAMME

Thursday, 07 June 2018

- |               |  |
|---------------|--|
| 08.30 - 09.00 | <b>Registration</b>  |
| 09:00 - 09:15 | <b>Welcome and introduction</b>  |
| 09:15 - 11:00 | <b>Regulatory background<br/>(NN, EBA)</b> <ul style="list-style-type: none"><li>• Where does the need for Recovery plans stem from?</li><li>• High level-texts (G-20 declarations, BIS, FSB)</li><li>• Implementation in Europe: BRRD and the interplay between recovery, early intervention and resolution</li></ul>   |
| 11:00 - 11:15 | <b>Coffee break</b>  |
| 11:15 - 13:00 | <b>Recovery Planning for SIs in the SSM<br/>(Ralf Bock, DG IV - CRM, ECB)</b> <ul style="list-style-type: none"><li>• Organisation of recovery work in CRM</li><li>• Achievements in the last two years</li><li>• Results from benchmarking of recovery plans</li><li>• SSM-Guidances<ul style="list-style-type: none"><li>○ Approach towards the identification of material deficiencies</li><li>○ Gauging the credibility of recovery options</li><li>○ Minimum requirements on banks' escalation procedures</li><li>○ Specification of slow/fast moving adverse events in scenarios</li><li>○ Standardized reporting templates to ensure data completeness and allow for analysis of bank specifics</li></ul></li></ul> |
| 13:00 - 14:00 | <b>Lunch</b>   |
| 14:00 - 15:00 | <b>Recovery Planning for LSIs in the SSM<br/>(Tamanna Talukder, DG III, ECB)</b> <ul style="list-style-type: none"><li>• The application of proportionality in recovery plans for LSIs</li><li>• Joint standards for recovery planning</li><li>• Crisis Management cooperation framework for between SSM and NCAs</li></ul>  |



- 15:00 - 15:45 **NCA Deepdive 1: Austria**  
(Eva Maria Peterlik and Konrad Richter, Oesterreichische Nationalbank)
- The evolution of Austrian recovery plans since their steps: Changing challenges over time for banks and for supervisors
  - Recovery plans for cooperative structures
  - Recovery indicator calibration in Austria
  - Quantitative comparison of Austrian LSIs' recovery plans
- 15:45 - 16:00 **Coffee break**
- 16:00 - 16:45 **UK approach to recovery planning**  
(Anna Tsounia, Bank of England)
- UK specific requirements and practices for recovery plans (e.g., playbook and fire drills)
  - PRA's approach to the review of recovery plans
  - Key findings from review of recovery plans for G-SIBs
- 16:45 - 17:30 **Recovery planning - a perspective from a non-SSM member: Czech experience and challenges ahead**  
(Jan Švoma, Czech National Bank)
- BRRD and its transposition in the Czech legislation
  - Current recovery plan assessment practice in the Czech Republic
  - Main challenges (materiality of local entities, individual vs. group plans)
- 18:30 **Dinner in a typical Viennese Restaurant**

## Friday, 08 June, 2018

- 09:00 - 11:00 **Case Study**  
(Eva Maria Peterlik and Konrad Richter, Oesterreichische Nationalbank)
- Hands-on review and assessment of a test plan in small groups
  - Presentation by groups of assessment and rationale and discussion of arising questions and challenges in the assessment
- 11:00 - 12:00 **Final discussion and conclusion**
- 12.00 **Tentative Lunch (or early leave)**



EUROPEAN SUPERVISOR EDUCATION INITIATIVE

## ORGANISATIONAL INFORMATION

### Seminar fee and registration

Seminar fee: 250 EUR incl. tuition fee, lunch and dinner. Please note that nominating institutions will be charged by invoice afterwards.

Accommodation has to be paid by the participant directly at the hotel. In case a registration already confirmed by ESE is cancelled after the registration deadline and no replacement for this place can be found, the complete seminar fee is due and will be invoiced by ESE.

**Please register via our website until May 12, 2018.**

<http://www.ese-initiative.org> or this direct [link](#)

### Accommodation and venue

We reserved rooms at the Hotel Strudlhof, double bedroom for single use at 87,00 Euro/night. After receipt of a confirmation of participation for the seminar, you have to book them by yourself (!) with the separate hotel reservation form. The form will be provided together with the confirmation of participation. Please send the completed form to E-Mail: [hotel@strudlhof.at](mailto:hotel@strudlhof.at) and CC: [training@oenb.at](mailto:training@oenb.at) .

### Seminar Venue

Hotel & Palais Strudlhof  
Pasteurgasse 1  
A-1090 Vienna  
Tel.: +43 (0) 1-319 2522  
E-Mail: [hotel@strudlhof.at](mailto:hotel@strudlhof.at)  
Homepage: [www.strudlhof.at](http://www.strudlhof.at)

**The deadline for the hotel reservation is May 16, 2018.**

### Seminar organisation in general

ESE Secretariat, Deutsche Bundesbank, Frankfurt a.M.  
Ms. Monika Lenkeit or Mr. Sven Wirth  
Email: [ese-initiative@bundesbank.de](mailto:ese-initiative@bundesbank.de)  
Phone + 49 69 9566-5107/5117

### For logistical questions regarding the venue

Oesterreichische Nationalbank, Vienna  
Ms. Anna Weber, Personnel Division/ Personnel Development  
E-Mail: [training@oenb.at](mailto:training@oenb.at)  
Phone + 43 1 40420/7633



EUROPEAN SUPERVISOR EDUCATION INITIATIVE

## About ESE

The European Supervisor Education Initiative (ESE) is an alliance of central banks and supervisory authorities in Europe with the objective to qualify financial supervisors in Europe. Its members are Bank of Slovenia, Banque centrale du Luxembourg, Czech National Bank, De Nederlandsche Bank, Deutsche Bundesbank, German Federal Financial Supervisory Authority and Oesterreichische Nationalbank.

ESE is committed to high level training based on uniform standards to enhance financial supervisors' knowledge and skills and to promote a common European supervisory culture and practice. The initiative offers a modular seminar programme for banking, insurance and securities and markets supervisors, financial stability analysts and economists from central banks and supervisory authorities in Europe.

ESE is always open to new members or cooperations. Any contribution by European central banks, supervisory authorities or other institutions in the field of financial supervision sharing the idea that training is crucial to the success of financial supervision is highly appreciated.