



**GOVERNING BOARD  
CENTRAL BANK OF SRI LANKA**

**29.10.2024 BANKING (SPECIAL PROVISIONS) ACT DIRECTIONS No. 01 of 2024**

**DATA TEMPLATES FOR RESOLUTION PLANNING  
FOR LICENSED BANKS**

In the exercise of the powers conferred by the Banking (Special Provisions) Act, No.17 of 2023 (hereinafter referred to as “the BSPA”), the Central Bank of Sri Lanka (CBSL) hereby issues these Directions to the commercial banks and specialised banks licensed by CBSL under the Banking Act, No. 30 of 1988 and every licensed bank incorporated or established outside Sri Lanka (hereinafter referred to as licensed banks) on the requirement to submit data for preparing resolution plans by CBSL.

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|--|---|
| <b>1 Empowerment</b>   | 1.1 In terms of Section 92 of the BSPA, CBSL is empowered to issue Directions to licensed banks regarding the manner in which any aspect of resolution of such licensed banks shall be conducted.   |
| <b>2 Scope<br/>of Application</b>  | 2.1 In terms of Section 11(6) of the BSPA, at the request of CBSL, licensed banks are required to provide CBSL with all updated information necessary for the effective implementation of resolution plans. This information must be submitted using the specified data templates and instructions outlined in Schedule I.<br><br>2.2 The management information system of each licensed bank shall maintain the necessary information and be capable of producing information requested by CBSL for the preparation of resolution plans for the licensed bank. |
| <b>3 Responsibility<br/>of the Board of<br/>Directors and<br/>Management</b> | 3.1 Each licensed bank shall appoint a member of the senior management to oversee its data submission process for resolution planning and shall put in place a robust governance structure and sufficient resources to support this process. The  |



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roles and responsibilities of key management personnel, managers in charge of provision of information and data, and other relevant officers involved in the resolution planning process should be clearly assigned within the licensed bank and specified in data templates.

3.2 Data and information reported through the Data templates shall be approved or endorsed by the Board of Directors for a locally incorporated licensed bank and the regional/global head office for a licensed bank incorporated outside Sri Lanka.

**4 Statutory  
Submission**

4.1 Commencing from year 2024, each licensed bank shall submit the data specified in the data templates in Schedule I:

- a) on or before 31<sup>st</sup> of March of the following year and on the request of CBSL; and
- b) immediately after any material changes in the organizational structure of such licensed bank, its business or its financial condition.

4.2 The summary of the data templates shall be signed off by the designated officer in the senior management responsible for the provision of Information and Data for drafting resolution plans and the Chief Executive Officer of the licensed bank and be submitted to CBSL with the completed data templates.

4.3 On the request of CBSL, licensed banks shall assist in elaborating and updating the resolution plans developed by CBSL.

**Dr. P. Nandalal Weerasinghe**

*Chairman of the Governing Board and*

*Governor of the Central Bank of Sri Lanka*

# **Resolution Plan Data Templates**

*[Ref. Section 11(6) of the Banking (Special Provisions) Act, No.17 of 2023 ]*

**Name of the Bank :** .....

Template Version: [Year\_Ver. No. Ex. 2024\_01]

Reporting Period: [As of dd.mm.yyyy Ex. 31.12.2024]

Date of Submission: [dd.mm.yyyy]



No.	Required Documents & Information for Resolution Planning (1)	Reference/ Schedule No. (2)	Submission Date (3)	Method of Data Collection (4)	Manager in Charge of Provision of Information and Data for Drafting the Resolution Plan (5)					Member of the Managing Body Responsible for the Provision of Information and Data for Drafting the Resolution Plan (6)					Notes (7)
					Name	Designation	Department	Telephone Number	Email	Name	Designation	Department	Telephone Number	Email	
<b>Other Information</b>															
1	Bank premises and owned property	Sch 14.Figure 01													
2	ATM Machines	Sch 14.Figure 02													
3	Investment Securities	Sch 14.Figure 03													
4	Weighted average interest on deposits and loans	Sch 14.Figure 04													
5	Interbank transactions Vostro & Nostro accounts	Sch 14.Figure 05													
6	Subsidiaries details	Sch 14.Figure 06													
7	Bank's ownership structure	Sch 14.Figure 07													
8	Banking information system - Hardware details	Sch 14.Figure 08													
9	Wholesale funding markets	Sch 14.Figure 09													
10	Capital markets & Investments	Sch 14.Figure 10													
11	Insurance	Sch.14 Figure 11													
12	Additional information	Sch.16													

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 1 List of the required data, information & documents for resolution planning for update, filled out and submitted by the bank for itself and/or by the ultimate parent company of the banking group and information that should be provided by the Bank Supervision Department.
- 2 References/ Schedule number for reference purposes.
- 3 State the date of submitting documents by the respective Manager in Charge.
- 4 The method of data collection (Ex: E-mail/hard copy).
- 5 Specify the contact information of the manager of the relevant department/legal entity in the bank and/or ultimate parent company or member of the banking group, in charge of the collection and submission of information and data for drafting and updating resolution plans, and general contact information of the relevant department (telephone number and email).
- 6 Specify the data about a member of the relevant department of the bank, ultimate parent company or member of the banking group in charge of coordination of activities for the purpose of providing information and data for drafting and updating resolution plans, and responsible for their accuracy, completeness and timely submission.
- 7 Special Notes
- 8 Mention the web link to download the Audited Financial Statements instead of submitting hard copies.
- 9 Stock exchange filing - Audited Financials, Annual Reports and disclosures done under Section 8 of CSE Listing Rules and Regulations. Please clearly mention the stock exchange filing and relevant web links to download respective filings.
- 10 Mention the web link to download the Annual Reports.
- 11 Mention the web link to download the respective report of the Credit Rating Agencies on the Ratings issued in the last two years for the Bank's Short-term and Medium-term obligations.

.....  
 (Signature of the Designated Officer in the Senior Management)  
 (Name of the Designated Officer)  
 (Designation of the Designated Officer)

.....  
 (Signature of the Chief Executive Officer)  
 (Name of the Chief Executive Officer)

<b>Schedule 1</b>
<b>Computation of Capital Ratios</b>

*Summary*

No.	Item (1)	Amount (2) Rs.	Note
1	Common Equity Tier 1 Capital		
2	Total Tier 1 Capital		
3	Total Capital		
4	Total Risk Weighted Assets		
5	Risk Weighted Amount for Credit Risk		
6	Risk Weighted Amount for Market Risk		
7	Risk Weighted Amount for Operational Risk		
8	Common Equity Tier 1 Capital Ratio (%)		
9	Capital conservation buffer		
10	Capital surcharge on D-SIBs		
11	Total Tier 1 Capital Ratio (%)		
12	Total Capital Ratio (%)		
13	Subordinated Debt as a Percentage of Total Capital		
14	Subordinated Debt which by its Contractual Terms could be Converted to Equity (Bail-in Instruments)		

**Instructions :**

- 1 Refer the **Banking Act Directions No.01 2016 Capital Requirements Basel III**  
( Part I – Guidelines For Computation Of Capital Ratios - Appendix II)
- 2 Ensure the Amounts under No.1 - 12 are consistent with the values reported in the Quarterly FIINET Return - BSD-QF-20-1A: Capital Requirements (Basel III); Part I – Computation of Capital Ratios

<b>Schedule 02-a</b>	<b>Areas Covered</b>	<b>Critical functions of the licensed bank, including the significant holdings of assets and liabilities relating to the respective functions and activities.</b>
	<b>BSPA*</b>	<b>Section 11(06)(a)</b>

Summary

No.	Critical Function (1)	Legal Entity/Department (2)	Assets as at xx.xx.xxxx				Liabilities as at xx.xx.xxxx				The Manager in charge of the Critical Function and/or Key Business Activity and the Provision of Information about the Function and/or Activity					Note (16)
			Type of Assets (3)	Amount (4)	Currency (5)	% of Total Assets (6)	Type of Liabilities (7)	Amount (8)	Currency (9)	% of Total Assets (10)	Name (11)	Designation (12)	Department (13)	Telephone Number (14)	Email (15)	

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the activities performed by the licensed bank for and on behalf of third parties other than the licensed bank, where the failure to perform any such activities would lead to a disruption of banking services which are essential for the functioning of the real economy or for ensuring financial system stability, due to the size or the market share of the licensed bank, external and internal interconnectedness, complexity or cross border activities of the licensed bank.
- 02 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members, as applicable.
- 03 & 07 Specify the descriptions of balance sheet assets and liabilities of the bank and/or banking group, linked with critical functions specified in Columns 1 of this Schedule.
- 04 & 08 Specify relevant amounts of balance sheet assets and liabilities of the bank and/or banking group, described in Columns 3 and 7, linked with identified critical functions and/or key business activities specified in Columns 1 and 2 of this schedule. If several key business activities are identified within the critical function, data on the relevant amount of balance sheet assets or liabilities of the bank are expressed at the level of the critical function and related key business activities.
- 05 & 09 Specify the currency of the assets and liabilities items which are specified in Columns 3 and 7, respectively.
- 06 & 10 Specify the share of asset and liability items in total assets and total liabilities, as a percentage of all amounts specified in Columns 3 and 7.
- 11-15 Contact information of the manager of the relevant department in the bank and/or ultimate parent company or member of the banking group, in charge of the critical function and/or key business activity, and in charge of the provision of information and data about the critical function and/or activity, and general contact information of the relevant department (telephone number and email) and special notes.
- 16 Special Notes, if any.

Schedule 02-b	Areas Covered	Critical shared services of the licensed bank, including the significant holdings of assets and liabilities relating to the respective functions and activities.
	BSPA*	Section 11(06)(a)

Summary

No.	Critical Shared Services (1)	Legal Entity/Department (2)	Assets as at xx.xx.xxxx				Liabilities as at xx.xx.xxxx				The Manager in charge of the Critical Shared Service and/or Key Business Activity and the Provision of Information about the Function and/or Activity					Note (16)
			Type of Assets (3)	Amount (4)	Currency (5)	% of Total Assets (6)	Type of Liabilities (7)	Amount (8)	Currency (9)	% of Total Assets (10)	Name (11)	Designation (12)	Department (13)	Telephone Number (14)	Email (15)	

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 "Critical shared services" means activities performed by a licensed bank itself or outsourced to be performed by any third party service provider, where the failure to perform any such activities would lead to an inability on the part of the licensed bank to perform critical functions and, thereby disrupt services which are essential for the functioning of the real economy or for ensuring financial system stability.
- 02 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 03 & 07 Specify the descriptions of balance sheet assets and liabilities of the bank and/or banking group, linked with the critical shared service specified in Columns 1 of this schedule.
- 04 & 08 Specify relevant amounts of balance sheet assets and liabilities of the bank and/or banking group, described in Columns 3 and 7, linked with the identified critical shared service and/or key business activities specified in Columns 1 and 2 of this schedule. If several key business activities are identified within the critical shared services, data on the relevant amount of balance sheet assets or liabilities of the bank are expressed at the level of the critical shared services and related key business activities.
- 05 & 09 Specify the currency of the assets and liabilities items which are specified in Columns 3 and 7.
- 06 & 10 Specify the share of asset and liability items in total assets and total liabilities, as a percentage of all amounts specified in Columns 3 and 7.
- 11-15 Contact information of the manager of the relevant department in the bank and/or ultimate parent company or member of the banking group, in charge of the critical shared service and/or key business activity, and in charge of the provision of information and data about the critical shared service and/or activity, and general contact information of the relevant department (telephone number and email).
- 16 Special Notes, if any.



Schedule 03-a	Areas Covered	Description of the class or classes of debt obligations of the licensed bank and of all the legal entities under its control.
	BSPA*	Section 11(06)(b)

Summary

Function Category	Deposit Type	Total Deposit Liabilities (1)	Total Number of Accounts (2)	Total Number of Customers (3)	Number of Accounts with balances above the Sri Lanka Deposit Insurance Scheme (SLDIS) Coverage Limit (4)	Number of Accounts with balances not more than the SLDIS Coverage Limit (5)	Number of Customers with balances above the SLDIS Coverage Limit (6)	Number of Customers with balances not more than the SLDIS Coverage Limit (7)	Total Deposit Liabilities ineligible for SLDIS (8)	Total Deposit Liabilities eligible for SLDIS (9)	Market Share Estimate (10)
Retail Deposits**	Demand										
	Savings										
	Time (by maturity)										
	Other Currencies										
Corporate Deposits ***	Demand										
	Savings										
	Time (by maturity)										
	Other Currencies										

\*Banking (Special Provisions) Act, No.17 of 2023.

\*\*Retail Deposits - Funds deposited by individual customers or SMEs.

(The annual turnover of SME shall not exceed Rs.1 billion - Please refer Banking Act Directions No. 07 of 2020 on Amendments to Capital Requirements under Basel III)

\*\*\*Corporate Deposits - Funds deposited by corporations, businesses or large institutions registered under the Companies Act No. 07 of 2007.

**Instructions :**

- 01 State the total deposit liabilities for each deposit type.
- 02 State the number of accounts for each deposit type.
- 03 State the number of customers for each deposit type.
- 04 Number of accounts with balances above the Sri Lanka Deposit Insurance Scheme (SLDIS) coverage limit.
- 05 Number of accounts with balances not more than the SLDIS coverage limit.
- 06 Number of customers with balances above the SLDIS coverage limit.
- 07 Number of customers with balances not more than the SLDIS coverage limit.
- 08 Total deposit liabilities ineligible for SLDIS.
- 09 Total deposit liabilities eligible for SLDIS (capped at the coverage limit per depositor).
- 10 State the market share estimate of each deposit type.

Schedule 03-b	Areas Covered	Description of the class or classes of debt obligations of the licensed bank and of all the legal entities under its control.
	BSPA*	Section 11(06)(b)

Summary

No.	Name of the Financial Institution (FI) (1)	Total Deposit Liabilities (2) Rs.	Total Deposit Liabilities (3) Other Currencies	Total Number of Accounts (4)	Market Share Estimate (5) (%)

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 State the name of the Financial Institution (FI).  
*Financial Institutions - Please refer the indicative list of FIs specified under the Banking Act Directions No. 04 of 2024 on Amendments to directions of capital requirement.*
- 02 State the total deposit liabilities for each FI held in LKR terms.
- 03 State the total deposit liabilities for each FI held in other currencies.
- 04 State the number of accounts of the FI.
- 05 State the market share estimate of each deposit liabilities of the FIs.

Schedule 03-c	Areas Covered	Description of the class or classes of debt obligations of the licensed bank and of all the legal entities under its control.
	BSPA*	Section 11(06)(b)

Summary

No.	Debt Obligation (1)	Fair Value (02) Rs.	Aggregate Amount of Debt Obligations owned by the Bank that have an Investment Grade Credit Rating (03) Rs.	The Amounts that have Credit Ratings 1-3 Notches below Investment Grade (04) Rs.	The Amounts that have Lower Ratings (05) Rs.	Amount that is Unrated (06) Rs.	Notes (07)

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Outline the debt and other liabilities of the bank and/or legal entity under its control as per Schedule 03-a.
- 02 Specify the fair value for the relevant obligation.
- 03 Aggregate amount of debt obligations owned by the bank that have an investment grade credit rating.
- 04 The amounts that have credit ratings 1-3 notches below investment grade.
- 05 The amounts that have lower credit ratings.
- 06 Amount that is unrated.
- 07 Special Notes, if any.

Summary

Schedule 03-d	Areas Covered	Description of the class or classes of loans and advances of the licensed bank and of all the legal entities under its control.
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Function category	Information	Currency	Short Term (8)	Long Term (9)	Revolving (10)
<b>Retail Secured (1)</b>	Total Assets				
	Total Committed Facilities				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				
<b>Retail Unsecured (2)</b>	Total Assets				
	Total Committed Facilities				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				
<b>Corporate Secured (3)</b>	Total Assets				
	Total Committed Facilities				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				
<b>Corporate Unsecured (4)</b>	Total Assets				
	Total Committed Facilities				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				
<b>Banks and Financial Institutions secured (5)</b>	Total Assets				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				
	<b>Banks and Financial Institutions unsecured (6)</b>	Total Assets			
Total Committed Facilities					
Number of Accounts					
Number of Customers					
Market Share Estimate					
<b>Others (7)</b>	Total Assets				
	Total Committed Facilities				
	Number of Accounts				
	Number of Customers				
	Market Share Estimate				

- Instructions :**
- 01 Specify the loans and advances which are given to individual customers and SMEs, backed by collateral.
  - 02 Specify the loans and advances which is given to the individual customers and SMEs, not backed by collateral.
  - 03 Specify the loans and advances which are given to businesses and large institutions, backed by collateral.
  - 04 Specify the loans and advances which are given to businesses and large institutions, not backed by collateral.
  - 05 Specify the loans and advances which are given to financial institutions, backed by collateral.
  - 06 Specify the loans and advances which are given to financial institutions, not backed by collateral.
  - 07 Specify the loans and advances which are given to the other creditors.

Schedule 04-a	Areas Covered	The off-balance sheet exposures of the licensed bank and other legal entities within the banking group.
	BSPA*	Section 11(06)(c)

Summary

No.	Critical Function (1)	Legal Entity/Department (2)	Off Balance Sheet Asset				Off Balance Sheet Liability				The Manager in charge of the Critical Function and/or Key Business Activity and the provision of Information about the Function and/or Activity					Note (16)
			Type of Assets (3)	Total (4)	Currency (5)	% of Total Off-Balance Sheet Items (6)	Type of Liability (7)	Total (8)	Currency (9)	% of Total Off-Balance Sheet Items (10)	Name (11)	Designation (12)	Department (13)	Telephone Number (14)	Email (15)	

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the activities performed by the licensed bank for and on behalf of third parties other than the licensed bank, where the failure to perform any such activities would lead to a disruption of banking services which are essential for the functioning of the real economy or for ensuring financial system stability, due to the size or market share of the licensed bank, external and internal interconnectedness, complexity or cross border activities of such licensed bank.
- 02 Specify the business name of the bank and/or ultimate parent company/Department of the banking group and group members.
- 03 & 07 Specify the descriptions of off-balance sheet assets & liabilities of the bank and/or banking group, linked with critical functions and/or key business activities specified in Columns 1 and 2 of this schedule.  
Note: Please limit the detailed information on off balance sheet assets/liabilities to “material” off balance sheet exposures defined as, those individual liabilities that have a monetary value exceeding [5%] of the total assets/liabilities of the bank.
- 04 & 08 Specify relevant amounts of off-balance sheet items of the bank and/or banking group, described in Columns 3 & 7, linked with identified critical functions and/or key business activities specified in Column 1 of this schedule.  
Note: If off balance sheet assets and off balance sheet liabilities are to the same counterparty, they can be netted.
- 05 & 09 Specify the currency of the off-balance sheet items which are specified in Columns 3 & 7.
- 06 & 10 Specify the percentage of the share of off-balance sheet items in total assets, total liabilities by all amounts specified in Columns 3 & 7.
- 11 - 15 Contact information of the manager of the relevant department in the bank and/or ultimate parent company or member of the banking group, in charge of the critical function and/or key business activity, and in charge of the provision of information and data about the critical function and/or activity, and general contact information of the relevant department (telephone number and email)
- 16 Special Notes, if any.

Schedule 04-b	Areas Covered	The off-balance sheet exposures of the licensed bank and other legal entities within the banking group.
	BSPA*	Section 11(06)(c)

Summary

No.	Critical Shared Service (1)	Legal Entity/Department (2)	Off Balance Sheet Asset				Off Balance Sheet Liability				The Manager in charge of the Critical Shared Service and/or Key Business Activity and the provision of Information about the Function and/or Activity					Note (16)
			Type of Assets (3)	Total (4)	Currency (5)	% of Total Off-Balance Sheet Items (6)	Type of Liability (7)	Total (8)	Currency (9)	% of Total Off-Balance Sheet Items (10)	Name (11)	Designation (12)	Department (13)	Telephone Number (14)	Email (15)	

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 "Critical shared services" means activities performed by a licensed bank itself or outsourced to be performed by any third party service provider, where the failure to perform any such activities would lead to an inability on the part of the licensed bank to perform critical functions and, thereby disrupt services, which are essential for the functioning of the real economy or for ensuring financial system stability.
- 02 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 03 & 07 Specify the descriptions of off-balance sheet assets & Liabilities of the bank and/or banking group, linked with critical shared service and/or key business activities-specified in Column-1 of this schedule.  
Note: Please limit the detailed information on off balance sheet asset/liabilities to "material" off balance sheet exposures defined as, those individual liabilities that have a monetary value exceeding [5%] of the total assets/liabilities of the bank.
- 04 & 08 Specify relevant amounts of off-balance sheet items of the bank and/or banking group, described in Columns 3 & 7, linked with the identified critical shared service specified in Column 1 this schedule.  
Note: If off balance sheet assets and off balance sheet liabilities are to the same counterparty, they can be netted.
- 05 & 09 Specify the currency of the off-balance sheet items, which are specified in Columns 4 & 8.
- 06 & 10 Specify the share of off-balance sheet items in total assets/ total liabilities as a percentage of all the amounts specified in Columns 3 & 7.
- 11 - 15 Contact information of the manager of the relevant department in the bank and/or ultimate parent company or member of the banking group, in charge of the critical shared service and in charge of the provision of information and data about the critical shared service and/or activity, and general contact information of the relevant depart
- 16 Special Notes, if any.

<b>Schedule 05</b>	<b>Areas Covered</b>	<b>The main operations of hedging the risks of the licensed bank and other legal entities within the banking group.</b>
	<b>BSPA*</b>	<b>Section 11(06)(d)</b>

*Summary*

No.	Legal Entity/Department (1)	Type of Risk (2)	Type of Hedge Item (3)	Hedge Instrument (4)	Type of Hedging Strategy (5)	Value of the Hedge Instrument (6) Rs.	Carrying Value of the Hedge Item (7) Rs.	Notes (8)

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 02 Specify the risk that can be mitigated (Ex: foreign exchange risk/ interest rate risk/ fair value risk/ etc.).
- 03 A hedged item can be recognized under asset or liability, an unrecognized firm commitment, a forecast transaction or a net investment in a foreign operation. The hedged item can be a single item or a group of items.  
*For example, a hedged item could be a loan for which the entity is paying a floating rate to a counterparty.*
- 04 Hedge instrument is a designated derivative or a designated non-derivative financial asset or a liability whose fair value or cash flow are expected to offset changes in fair value or cash flow of a hedge item.  
*Ex: If the hedge instrument is a derivative, you can designate the entire derivative as a hedging instrument to offset changes in the hedge item. Alternatively, you can designate only a portion of the derivative for hedging if you plan to use just part of it to manage the risk.*
- 05 Specify the type of Hedging Strategy (Ex: cash flow hedging/fair value hedging).
- 06 Specify the fair value of the hedge instrument.  
*Ex: Interest rate swap/Currency swap. The Hedge instrument will be valued at mark to market*
- 07 Specify the carrying value of the hedge item.  
*Ex: Foreign currency deposit/borrowing. The Hedge item will be valued at cost + interest*
- 08 Special Notes, if any.

Summary

Schedule 06	Areas Covered	01. The main contracting counterparties of the licensed bank or of the critical functions.
		02. Termination of any agreements by the licensed bank and any other legal entity within the banking group with third parties, which may be triggered by a decision of the authorities to apply one or more resolution measures and whether the consequences caused by the termination may affect the implementation of such resolution measures.
	BSPA*	Section 11(06)(e) & (n)

No	Legal Entity/Department (1)	Critical Function/Shared Services (2)	Contracting Counterparty (3)	Type of Contract (4)	Original Date of Commencement (5)	Termination Affecting Resolution (6)	Comments (7)

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.  
Specify the activities performed by a licensed bank for and on behalf of third parties other than the licensed bank, where the failure to perform any such activities would lead to a disruption of banking services which are essential for the functioning of the real economy or for ensuring financial system stability, due to the size or market share of such licensed bank, external and internal interconnectedness, complexity or cross border activities of such licensed bank.
- 02 "Critical shared services" means activities performed by a licensed bank itself or outsourced to be performed by any third party service provider, where the failure to perform any such activities would lead to an inability on the part of the licensed bank to perform critical functions and, thereby disrupt services which are essential for the functioning of the real economy or for ensuring financial system stability.
- 03 Specify the contracting counterparty Name.
- 04 Type of contract (Ex: Signed contract/Implied or express contract/MOU).
- 05 & 06 Details regarding the commencement (05) and termination (06) dates affecting the resolution.
- 07 Other special remarks regarding the contractual agreements.



Schedule 07	Areas Covered	An analysis of the impact of the distressed financial condition of the licensed bank on the main contracting counterparty.
	BSPA*	Section 11(06)(f)

Summary

No	Legal Entity/Department (1)	Critical Function/Critical Shared Service (2)	Contracting Counterparty (3)	Details of the Main Contracting Counterparty			
				Total Revenue for the Year (4) Rs.	Value of the Contract (5) Rs.	Coverage (6) = (5)/(4)	No. of Total Customer Base (7)

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 02 Specify Critical functions/Critical shared services identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on the Bank.
- 03 Specify the name of the contracting counterparty of the contractual arrangement which is mentioned in Column 03 of Schedule 06.
- 04 Specify the revenue for the year relevant to each contracting counterparty which is stated in Column 3.
- 05 State the cumulative value of the contract.
- 06 State value of the contract as a share of the overall revenue of the contracting counterparty.  
\* Coverage (6) = Value of the Contract (5) / Total Revenue for the Year (4)
- 07 Specify the number of the total customer base to each contracting counterparty.

Schedule 08	Areas Covered	Each system in which the licensed bank carries out significant transactions in terms of the number or value, including the identification of their correspondence with legal entities and critical functions.
	BSPA*	Section 11(06)(g)

Summary

No	Legal Entity/Department/Member of the Banking Group (1)	Key Software Component		Owner of the Key Software Component			Critical Function/Critical Shared Service (7)	Key Business Activity (8)	Potential Consequences of Resolution (9)	Replaceability (10)	Notes (11)
		Name of Software Component (2)	Description of Software Component (3)	Business Name (4)	Head Office Location (5)	Type of Contract (6)					
1.											
2.											
3.											
4.											

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.

02 Specify the names of key software components in the information system of the bank and/or ultimate parent company of the banking group or group members.

03 For the purpose of identifying the description, it is possible to specify: risk management, accounting, financial reporting, regulatory reporting, credit activities, deposit activities, trading in financial instruments, payment services in the country and abroad, activities relating to the settlement of financial and other instruments, custody services, investment activities, factoring and forfeiting, financial leasing activities, insurance activities, voluntary pension fund management activities, investment fund management activities. If one key software component supports several functions, specify all supported functions along with that component.

04-06 Specify the business name and head office location of the business which has the right of ownership of the stated key software component if this is not the person stated in Column 1, and the type of contract under which the person in Column 1 uses the key software component (contract on outsourcing activities and/or provision of services by the third party, contract on giving for use etc.). If the owner of the component is exclusively the person stated in Column 1, in Column 4 state the note "Person from Column 1" and in Column 6 "ownership". In case of co-ownership of the component, in Columns 4 and 5, specify the name and head office of the co-owner, and in Column 6 state the note "co-ownership".

07 Specify critical functions and critical shared services identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on the Bank. The stated critical function/critical shared services can also be accompanied by several key business activities. If several key business activities are associated with a critical function or critical shared service, these key business activities should be included only if they are not already covered by the critical function or critical shared service.

08 Specify key business activities identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on Banks, if the stated key software component supports business activities and services identified as key business activities. An individual key business activity need not be accompanied by specification of the critical function/critical shared services in column 7, if that key business activity does not qualify at the same time to represent the critical function/shared service. However, a key business activity can be linked to multiple critical functions or critical shared services if it is part of several such functions or services. If critical functions/critical shared service are not identified, specify only identified key business activities whose performance is supported by the stated key software component.

09 Specify the assessment of potential consequences of launching the process of resolution of the bank and/or banking group and/or group members in accordance with the Law on Banks, on the functionality of the stated key software component used in the process.

10 Specify the name of the potential alternative supplier, with the note whether the bank and/or ultimate parent company of the banking group or group member has a contract with the alternative supplier for the stated key software component, and/or if no such contract exists, provide an assessment of replaceability in terms of availability, speed, potential costs and the easiness of replacing suppliers and/or key software components in the market.

Schedule 09	Areas Covered	Each payment, clearing or settlement system in which the licensed bank is a participant, directly or indirectly, including the establishment of their correspondence with legal entities and critical functions.
	BSPA*	Section 11(06)(h)

Summary

No	Business Name of the Bank and/or Ultimate Parent Company and Member of the Banking Group (1)	System				Critical Function/Critical Shared Service (6)	Transaction Details (7)		Key Business Activity (8)	Potential Consequences of launching the Resolution Procedure (9)	Replaceability (10)	Custody services (11)		Note (12)
		Type of System (2)	Name of System (3)	Manner of Participation (4)	Intermediary Institution (5)		Volume	Value				Client Assets and Money Held	Market Share Estimate	
1														
2														
3														
4														

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 02 Specify the type of concrete payment systems and financial instruments settlement systems, defined through the following categories: "payment", "settlement", "securities settlement", "derivatives settlement", "depositor", "other contractual party" and "other". If the system covers several categories, specify all of them. If the bank and/or ultimate parent company of the banking group or group member participate in several systems, specify all systems where participation takes place. By this form, in addition to payment systems and financial instruments settlement systems, the bank also covers: systems of international clearing of cheques - clearing of cheques and clearing and settlement under direct debits with the Association of SL Banks.
- 03 Specify the name of the system, without specifying data about the participation in payment systems (RTGS payment system, Clearing system, Interbank clearing of foreign exchange payments and International clearing of foreign exchange payments, any other).
- 04 Specify: "direct" in case of direct participation or "indirect" in case of participation through intermediaries.
- 05 Fill out only in the case when the manner of participation in the system is defined in Column 4 as "indirect"; specify the name of the intermediary institution through which the bank and/or ultimate parent company of the banking group or group member exercises such participation. In case of execution of international payments through correspondent banks, specify the names of the banks in that Column.
- 06 Specify the critical function/ critical shared service identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on Banks, if activities, services or operations that the bank and/or ultimate company of the banking group or group member carries out through the system are covered by the identified critical functions of the bank and/or banking group, and/or their continuous implementation depends on the participation in the system. An individual critical function need not be accompanied with specifying the key business activity in Column 7, if that critical function is not at the same time the key business activity. The critical function can also be accompanied by several key business activities, if several key business activities are identified within the critical function.
- 07 State the total number of transactions and value processed from, to or through the Services and Platform by Provider during any applicable period.
- 08 Specify the key business activity identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on Banks, if activities and services that the bank and/or ultimate company of the banking group or group member carries out through the system are covered by the identified key business activities of the bank and/or banking group. An individual key business activity need not be accompanied with specification of the critical function/critical shared service in Column 6, if that key business activity does not at the same time represent the critical function/critical shared service. Also, the key business activity can be presented along with several critical functions/critical shared services, if it is a part of several identified critical functions/critical shared services. If critical functions/critical shared services are not identified, specify only identified key business activities for whose performance the participation in the system is necessary.
- 09 Specify the assessment of potential consequences of launching the process of resolution of the bank and/or banking group and/or group members in accordance with the Law on Banks, on participation/membership or contract with the intermediary institution specified in Column 5 of this form. This Column is filled out when the manner of participation/membership in the system is defined in Column 4 as "indirect/direct".
- 10 Specify the names of alternative systems available in the market which could, according to the assessment of the bank and/or ultimate parent company of the banking group, represent adequate replacement for the system specified in Column 3, and/or intermediary institution specified in Column 5.
- 11 State the client assets and money held and Market share estimate.  
The "market share estimate" in terms of custody services refers to the percentage of the total market revenue that is captured by a company or companies providing custody services.
- 12 Specify additional information and potential specificities of the contractual arrangement for participation/membership in the system, if they are inconsistent with the standard method of participation/membership in those systems.

Summary

Schedule 10	Areas Covered	The inventory and the main information management systems on risk management, accounting, and financial and statutory reporting used by the licensed bank, including the establishment of their correspondence with legal entities and critical functions.
	BSPA*	Section 11(06)(i)

No.	Legal Entity (1)	Critical Function/Critical Shared Service (2)	Market Share (3)	Risk Management (4)		Accounting (5)		Financial and Statutory Reporting (6)		Replaceability (7)	Note (8)
				Name	Vendor Detail	Name	Vendor Detail	Name	Vendor Detail		

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company of the banking group and group members.
- 02 Specify the activities/shared services performed by a licensed bank for and on behalf of third parties other than the licensed bank, where the failure to perform any such activities/shared services would lead to a disruption of banking services which are essential for the functioning of the real economy or for ensuring financial system stability, due to the size or market share of such licensed bank, external and internal interconnectedness, complexity or cross border activities of such licensed bank.
- 03 Specify the approximate share that the bank has of the market for the particular service(s).
- 04 Specify the details (system name and vendor details) regarding the main information management system on risk management, with correspondence with legal entity and critical functions/critical shared services.
- 05 Specify the details (system name and vendor details) regarding the main information management system on accounting, with correspondence with legal entity and critical functions/critical shared services.
- 06 Specify the details (system name and vendor details) regarding the main information management system on financial and statutory reporting, with correspondence with legal entity and critical functions/critical shared services.
- 07 Specify the names of alternative systems available in the market which could, according to the assessment of the bank and/or ultimate parent company of the banking group, represent adequate replacement for the system specified in Columns 4, 5 & 6.
- 08 Special Notes, if any.

Schedule 11	Areas Covered	The agreements executed on provision of services related information management systems, information technology systems or licenses, including the establishment of their correspondence with legal entities and critical functions.
	BSPA*	Section 11(06)(j)

Summary

No.	Business Name of the Bank and/or Ultimate Parent Company and Member of the Banking Group (1)	Critical Function/Critical Shared Service (2)	Agreement No. (3)	Type of Agreement (4)	Monitory Value of the Agreement (5)	Type of Service Provided (6)	License Information (7)	Name of the Licensing Organization (8)
1								
2								
3								
4								

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the bank and/or ultimate parent company/Department of the banking group and group members.
- 02 Specify the critical function/critical shared service identified for the needs of drafting recovery and resolution plans of the bank and/or banking group, in accordance with the provisions of the Law on Banks, if activities, services or operations that the bank and/or ultimate company of the banking group or group member carries out through the system are covered by the identified critical functions/shared services of the bank and/or banking group, and/or their continuous implementation depends on the participation in the system.
- 03 Specify the agreement number which was executed on services related to information management systems, information technology systems.
- 04 Specify the type of the agreement.
- 05 Specify the monitory value of the agreement.
- 06 Describe the services provided.  
*Ex: Maintenance agreement, Annual support service agreement, etc.*
- 07 Period of licensing.
- 08 Entity name of the license organization.

Schedule 12	Areas Covered	The interconnectedness and interdependencies between the licensed bank and other stakeholders including the staff, shared facilities and systems or capital financing or liquidity mechanisms, existing or contingent credit exposures, cross-border guarantee agreements, cross-default collateral agreements, and cross-settlement agreements between affiliates, risk transfer arrangements back-to-back trading arrangements or service provision agreements.
	BSPA*	Section 11(06)(k)

No.	Business Name of the Bank and/or Ultimate Parent Company and Member of the Banking Group (1)	Legal entity with which there is mutual connectedness			Type of Connectedness/ Interdependencies (5)	Description (6)
		Business Name (2)	Registration Number (3)	Head Office (4)		
1						
...						
2						
...						
3						
...						
4						
...						

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the business name of the legal entity/bank and/or ultimate parent company/Department of the banking group and group members.
- 02-04 Provide information on the legal entity that shares a mutual connection with the ultimate parent company of a member of the banking group. For banks, if a group member is already listed in the first column, it is not necessary to complete columns 2 to 4.
- 05 Specify the type of connectedness by selecting one of the following categories: (a) employees, (b) facilities/premises, (c) systems, (d) capital arrangements, (e) funding arrangements, (f) liquidity arrangements, (g) net exposure to persons associated with the bank and/or the ultimate parent company and/or banking group member, (h) cross border guarantee agreements, (i) cross-collateral arrangements, (j) cross-default provisions, (k) cross-affiliate netting arrangements, (l) risk transfers, (m) back-to-back trading arrangements, (n) service default arrangements, (o) service/activity level agreements, (p) other. If the connectedness is based on several grounds, all of them must be listed.
- 06 Specify the closest description for each of the mutual connectedness categories that are listed (e.g. if employees are shared – specify which employees and how many, if systems are shared – specify the joint systems, if infrastructure is shared – specify which part of the infrastructure is joint, if it is a funding arrangement – specify who is financing whom and in which manner, if it is a liquidity arrangement – specify who is obligated to whom for the provision of support for liquidity purposes, and similarly).

<b>Schedule 13</b>	<b>Areas Covered</b>	<b>Possible sources of liquidity in support of the resolution.</b>
	<b>BSPA*</b>	<b>Section 11(06)(o)</b>

*Summary*

No.	Source of Liquidity (1)	Collateralized Details (2)		Counter Party Information (3)	Existing Availability of Agreement (4)	Type of Currency (5)	Agreement Signed Date (6)	Notional Amount of the Agreement (7)	Copy of the Agreement (8)	Interest Rate (9)	Repayment Method (10)
		Collateralized/Not	Instruments								

\*Banking (Special Provisions) Act, No.17 of 2023.

**Instructions :**

- 01 Specify the funding options. When specifying the sources of liquidity, extraordinary public financial support and liquidity assistance in emergency situations from the Central Bank (guaranteed or otherwise) should not be considered.
- 02 State whether the credit provided would be collateralized/not collateralized and if collateralized, with what instruments.
- 03 Specify the contracting counterparty name (Individual/business name).
- 04 Existing availability of agreement (Available/ Not available).
- 05 Specify the type of currency.
- 06 Specify the agreement signed date.
- 07 Specify the total value of the underlying asset/notional amount in the contract.
- 08 Attach the copy of the agreement.
- 09 Specify the interest rate which is stated in the agreement.
- 10 State the repayment method and conditions.

**01: Bank Premises and Owned Property**

**Sch 14.Figure 01**

No.	Branch Name	Branch Code	District	City	Number of Employees	Status of the Operation			
						(Closed/Operating)	Leased/Owned	Value of the Owned Premises (Rs.)	Other Tenants at the Premises

**02: ATM Machines**

**Sch 14.Figure 02**

No.	District	Location	No. of ATM Machines per Location	Average No. of Transaction	Average Amount of Transaction (Rs.)

**03: Investment Securities**

**Sch 14.Figure 03**

No.	Type of Investment Security	Issuers	Amounts (Rs.)	Maturity (Rs.)	Interest Rates (%)	Business Model (Held for sale/Hold to collect)

**04: Weighted Average Interest on Deposits and Loans**

**Sch 14.Figure 04**

No.	Tenor	Weighted Average Interest on			
		Deposits (%)	Loans (%)	Secured Borrowings (%)	Unsecured Borrowings (%)



**05: Interbank Transactions Vostro & Nostro Accounts**

**Sch 14.Figure 05**

No.	Transaction Type	Nostro/Vostro	Value of the Transaction (Rs.)	Currency	Value of the Transaction (FX)

**06: Subsidiaries & Associate Companies Details**

**Sch 14.Figure 06**

No.	Subsidiary/ Associate Company Name	Nature	% of Holding	Value of the Banks' Equity Interest (Rs.)

**07: Bank's Ownership Structure (Top 20 Shareholders)**

**Sch 14.Figure 07**

No.	Shareholder Name	NIC No.	Amount Owned (Rs.)	% of Ownership
1				
2				
3				
4				
5				
6				
7				
8				
9				
10				
11				
12				
13				
14				
15				
16				
17				
18				
19				
20				

**08: Banking Information System - Hardware Details**

**Sch 14.Figure 08**

No.	Department	Critical Function/Critical Shared Service	Hardware Components Details			Brand of Mainframes
			Name of Hardware Component	Use of Component	Count	

**09: Wholesale Funding Markets**

**Sch 14.Figure 09**

No.	Wholesale Funding Markets	Transaction		Outstanding Balances (Rs.)	Market Share Estimate (%)
		Volume	Value (Rs.)		
	Securities financing				
	Wholesale lending and borrowing				
	Securities lending				

**10: Capital Markets & Investments**

**Sch 14.Figure 10**

No.	Capital markets & Investments	Transaction		Market Share Estimate (%)
		Volume	Value (Rs.)	
	Debt securities markets			
	Other securities markets			
	Derivatives			

**11: Insurance**

**Sch 14.Figure 11**

No.	Insurance Type (1)	Number of Policies (2)	Premium Revenue (3) (Rs.)	Market Share (4) (%)

**Summery Instruction for table wise:**

**Sch 14.Figure 01**

Bank premises and owned property details (Location details relating to main offices/ branches that are open, those not in operation; number of employees in each location; whether banking premises owned or leased; recorded value of owned premises; whether there are other tenants in the premises.

**Sch 14.Figure 02**

ATM Machine details (Location, number of ATM machines per each location, average number and amount of transactions).

**Sch 14.Figure 03**

Investment Securities details (Type, issuers, amount, maturity, interest rates and business model).

**Sch 14.Figure 04**

Interest rates (Weighted average interest on deposits, loans, Secured Borrowings & Unsecured Borrowings).

**Sch 14.Figure 05**

Interbank transactions (Nostro and vostro account amounts LKR Vs Fx).

**Sch 14.Figure 06**

Subsidiaries and Associate companies details (Nature with the Partially/wholly owned; Value of the bank's equity interest).

**Sch 14.Figure 07**

Bank's ownership structure (Twenty largest shareholders and amount owned).

**Sch 14.Figure 08**

Banking information system - Hardware details (main details - name, use of component, count and details of brand of mainframes).

**Sch 14.Figure 09**

Wholesale funding markets

Securities financing. Ex: Repos, Reverse Repos

Wholesale lending and borrowing: Ex: secured/unsecured

Securities lending Ex: direct / third party / agent

**Sch 14.Figure 10**

Capital markets & Investments

Debt securities markets (including primary and secondary markets)

Other securities markets (including primary and secondary markets)

Derivatives (equities, sovereign credit, non-sovereign credit products, rates, foreign exchange, commodities)

**Sch 14.Figure 11**

Insurance Details

- 01 List each type of insurance offered through the bank's insurance products or partnerships.  
*Ex: Mortgage Insurance, Life Insurance, etc.*
- 02 State the total number of insurance policies sold or managed by the bank for each insurance type.
- 03 State the total amount of revenue collected from premiums for each type of insurance.
- 04 State the approximate market share that the bank's insurance products represent for each type of insurance.

<b>Schedule 15</b>	<b>Areas Covered</b>	<b>Contracts automatically terminate if the bank enters into resolution.</b>
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Summary

Legal Entity/Department (1)	Name of the Contractor (2)	Company/Business Name (3)	Type of the Contract (4)	Terminated Date (5)	Duration of the Contract (6)	Details of the Contractual Agreements (7)

**Instructions :**

The purpose of this schedule is to fill which material leases and service contracts automatically terminate if the bank enters into resolution, winding up or similar insolvency proceedings or if a receiver or other special administrator is appointed for the bank.

- 01 Specify the business name of the bank and/or ultimate parent company/department of the banking group and group members.
- 02 Specify the name of the contractor.
- 03 Specify the Company/Business name of the contractor.
- 04 Specify the Type of the contract (Ex: Signed contract/Implied or express contract/MOU)
- 05 Specify the Termination date of the contract.
- 06 Specify the time duration of the contract.
- 07 Include/Annex contractual agreement or details of such agreements.

Schedule 16	Areas Covered	Resolution Strategy and Potential Impediments
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Summary

No.	Legal Entity/Department (1)	Possible Condition for Resolution (2)	Resolution Strategy (3)	Potential Impediments (4)	Mitigation Measures (5)	Notes

- Instructions :**
- 01 Specify the business name of the bank and/or ultimate parent company of the banking group and group members.
  - 02 Specify a possible condition/trigger for resolution of the institution (please refer Section 13(2) of the Banking (Special Provisions) Act, No.17 of 2023).
  - 03 State the Bank's initial views on what it considers to be an appropriate resolution strategy for the bank and the banking group as per Section 14 of the Banking (Special Provisions) Act, No 17 of 2023.  
*Ex: Capital increase through the existing shareholders and new shareholders.*
  - 04 State the potential impediments to the resolution strategy identified by the bank.  
*Ex: Following the example in 03 above, resistance from the existing shareholders can be a potential impediment.*
  - 05 State the specific actions or steps the bank plans to take to address and overcome each impediment.  
*Ex: Following the examples in 03 and 04 above, specify the early engagements with existing shareholders to address concerns and offer incentives under mitigation measures.*