# ICP Questionnaire – ICP 25 Supervisory Cooperation and Coordination

This ICP questionnaire is based on ICP 25 version 2011.

## Introduction

For each question, choose the response that most closely corresponds to the situation in YOUR JURISDICTION and YOUR AUTHORITY. Some questions ask about the actual experience in YOUR JURISDICTION during the last three years. Please respond based on your best estimate of what the actual experience has been.

In this survey (as in the ICPs), the term “legislation” is used to include both primary legislation (which generally requires full legislative consent) and secondary and other forms of legislation, including rules and regulations which have the legal force of law but are usually the responsibility of the supervisor. The term “supervisory guidelines” means documents issued by the supervisor to communicate expectations to the industry, which do not have the legal force of law.

It is recommended that you prepare all answers to this questionnaire in advance and obtain approval in your supervisory authority before entering the results in the ICP Self-Assessment Tool (SAT) via [www.icp-selfassessment.org](http://www.icp-selfassessment.org)

Please note that in contrast to other ICP assessment processes the ICP SAT only takes into account your answers to multiple choice questions without any qualitative review. Therefore the results are only high level and non-binding.

## Questionnaire

**25 The supervisor cooperates and coordinates with other relevant supervisors and authorities subject to confidentiality requirements.**

**25.1 The supervisor takes steps to put in place adequate coordination arrangements with involved supervisors on cross-border issues on a legal entity and a group-wide basis in order to facilitate the comprehensive oversight of these legal entities and groups. Insurance supervisors cooperate and coordinate with relevant supervisors from other sectors, as well as with central banks and government ministries.**

1. To what extent has YOUR AUTHORITY taken steps to put in place coordination arrangements with other supervisors in order to facilitate the comprehensive oversight of legal entities and groups as both a home and host supervisor? In this question and those that follow, the term “coordination arrangements” means arrangements such as memoranda of understanding, supervisory colleges, supervisory recognition agreements and terms of reference where appropriate.

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1. Coordination arrangements are in place with all relevant supervisors | 2. Coordination arrangements are in place with most relevant supervisors and steps are being taken to address the gaps | 3. Coordination arrangements are in place with some relevant supervisors and steps are being taken to address the gaps | 4. Coordination arrangements are in place with some relevant supervisors, but no steps are being taken to address the gaps | 5. Coordination arrangements are not in place with any relevant supervisors, but steps are being taken to address the gaps | 6. Coordination arrangements are not in place with any relevant supervisors, and no steps are being taken to address the gaps | 7. Not applicable |
| 1. Other insurance supervisors within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for banks and other credit institutions within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for investments, securities, financial markets and other sectors within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Insurance supervisors in other jurisdictions
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for banks and other credit institutions in other jurisdictions
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for investments, securities, financial markets and other sectors in other jurisdictions
 |  |  |  |  |  |  |  |

1. To what extent have the coordination arrangements entered into by YOUR AUTHORITY with other supervisors included the following types? (More than one response from columns 1 through 5 may be entered, where applicable.)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | 1. Multi-lateral memoranda of understanding | 2. Bilateral memoranda of understanding | 3. Supervisory college arrangements, where YOUR AUTHORITY is the coordinator | 4. Supervisory college arrangements, where YOUR AUTHORITY is a participant | 5. Supervisory recognition agreements | 6. No coordination arrangement is in place | 7. Not applicable |
| 1. Other insurance supervisors within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for banks and other credit institutions within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for investments, securities, financial markets and other sectors within YOUR JURISDICTION
 |  |  |  |  |  |  |  |
| 1. Insurance supervisors in other jurisdictions
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for banks and other credit institutions in other jurisdictions
 |  |  |  |  |  |  |  |
| 1. Supervisors responsible for investments, securities, financial markets and other sectors in other jurisdictions
 |  |  |  |  |  |  |  |

**25.2 Coordination agreements include establishing effective procedures for: information flows between involved supervisors; communication with the head of the group; convening periodic meetings of involved supervisors; and conduct of a comprehensive assessment of the group.**

1. To what extent have the coordination agreements entered into by YOUR AUTHORITY **as a group-wide supervisor** with other supervisors established procedures in the following areas?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Included in all agreements | 2. Included in most agreements; in other cases, less formal procedures have been established | 3. Included in some agreements; in some other cases, less formal procedures have been established | 4. Not included in agreements, but in some cases less formal procedures have been established | 5. No procedures have been established | 6. Not applicable |
| 1. Information flows between involved supervisors
 |  |  |  |  |  |  |
| 1. Communication with the head of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Communication with the head office of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |
| 1. Convening of periodic meetings of involved supervisors
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |

1. To what extent have the coordination agreements entered into by YOUR AUTHORITY **as a host supervisor** with other supervisors established procedures in the following areas?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Included in all agreements | 2. Included in most agreements; in other cases, less formal procedures have been established | 3. Included in some agreements; in some other cases, less formal procedures have been established | 4. Not included in agreements, but in some cases less formal procedures have been established | 5. No procedures have been established | 6. Not applicable |
| 1. Information flows between involved supervisors
 |  |  |  |  |  |  |
| 1. Communication with the head of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Communication with the head office of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |
| 1. Convening of periodic meetings of involved supervisors
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |

1. In the opinion of YOUR AUTHORITY, during the last three years, how effective have the procedures established in the coordination agreements entered into by YOUR AUTHORITY **as a group-wide supervisor** with other supervisors been in the following areas?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always effective | 2. Usually effective | 3. Sometimes effective | 4. Generally ineffective | 5. No procedures have been established | 6. Not applicable |
| 1. Information flows between involved supervisors
 |  |  |  |  |  |  |
| 1. Communication with the head of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Communication with the head office of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |
| 1. Convening of periodic meetings of involved supervisors
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |

1. In the opinion of YOUR AUTHORITY, during the last three years, how effective have the procedures established in the coordination agreements entered into by YOUR AUTHORITY **as a host supervisor** with other supervisors been in the following areas?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always effective | 2. Usually effective | 3. Sometimes effective | 4. Generally ineffective | 5. No procedures have been established | 6. Not applicable |
| 1. Information flows between involved supervisors
 |  |  |  |  |  |  |
| 1. Communication with the head of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Communication with the head office of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |
| 1. Convening of periodic meetings of involved supervisors
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the group, where the agreement relates to supervision of a group
 |  |  |  |  |  |  |
| 1. Conduct of a comprehensive assessment of the legal entity, where the agreement relates to supervision of a legal entity
 |  |  |  |  |  |  |

**25.3 Supervisors cooperate and coordinate in the supervision of an insurance legal entity with a branch in another jurisdiction in accordance with their authorities and powers.**

1. To what extent does YOUR AUTHORITY cooperate and coordinate with other supervisors in the following areas in the supervision of insurance legal entities, **based in YOUR JURISDICTION,** with branches in other jurisdictions?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | 1. Always, for all relevant insurers and jurisdictions | 2. Usually, for most relevant insurers and jurisdictions | 3. Sometimes, for some relevant insurers and jurisdictions | 4. Seldom if ever | 5. Not applicable |
| 1. Licensing and changes of control
 |  |  |  |  |  |
| 1. Suitability of persons
 |  |  |  |  |  |
| 1. Corporate governance, risk management and internal controls
 |  |  |  |  |  |
| 1. Capital adequacy and other prudential matters
 |  |  |  |  |  |
| 1. Market conduct matters
 |  |  |  |  |  |
| 1. Comprehensive assessment
 |  |  |  |  |  |
| 1. Intervention
 |  |  |  |  |  |

1. To what extent does YOUR AUTHORITY cooperate and coordinate with other supervisors in the following areas in the supervision of insurance legal entities, **based in other jurisdictions,** with branches in YOUR JURISDICTION?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | 1. Always, for all relevant insurers and jurisdictions | 2. Usually, for most relevant insurers and jurisdictions | 3. Sometimes, for some relevant insurers and jurisdictions | 4. Seldom if ever | 5. Not applicable |
| 1. Licensing and changes of control
 |  |  |  |  |  |
| 1. Suitability of persons
 |  |  |  |  |  |
| 1. Corporate governance, risk management and internal controls
 |  |  |  |  |  |
| 1. Capital adequacy and other prudential matters
 |  |  |  |  |  |
| 1. Market conduct matters
 |  |  |  |  |  |
| 1. Comprehensive assessment
 |  |  |  |  |  |
| 1. Intervention
 |  |  |  |  |  |

**25.4 Supervisors cooperate and coordinate in the supervision of insurance groups and insurance legal entities that are parts of insurance groups in accordance with their authorities and powers.**

1. To what extent does YOUR AUTHORITY cooperate and coordinate with other supervisors in the following areas in the supervision of insurance groups and insurance legal entities, including their branches, **based in YOUR JURISDICTION** **as a home/group-wide supervisor**?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | 1. Always, for all relevant insurers and jurisdictions | 2. Usually, for most relevant insurers and jurisdictions | 3. Sometimes, for some relevant insurers and jurisdictions | 4. Seldom if ever | 5. Not applicable |
| 1. Licensing and changes of control
 |  |  |  |  |  |
| 1. Suitability of persons
 |  |  |  |  |  |
| 1. Corporate governance, risk management and internal controls
 |  |  |  |  |  |
| 1. Capital adequacy and other prudential matters
 |  |  |  |  |  |
| 1. Market conduct matters
 |  |  |  |  |  |
| 1. Comprehensive assessment
 |  |  |  |  |  |
| 1. Intervention
 |  |  |  |  |  |

1. To what extent does YOUR AUTHORITY cooperate and coordinate with other supervisors in the following areas in the supervision of insurance groups and insurance legal entities, including their branches, **based in other jurisdictions as a host supervisor**?

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
|  | 1. Always, for all relevant insurers and jurisdictions | 2. Usually, for most relevant insurers and jurisdictions | 3. Sometimes, for some relevant insurers and jurisdictions | 4. Seldom if ever | 5. Not applicable |
| 1. Licensing and changes of control
 |  |  |  |  |  |
| 1. Suitability of persons
 |  |  |  |  |  |
| 1. Corporate governance, risk management and internal controls
 |  |  |  |  |  |
| 1. Capital adequacy and other prudential matters
 |  |  |  |  |  |
| 1. Market conduct matters
 |  |  |  |  |  |
| 1. Comprehensive assessment
 |  |  |  |  |  |
| 1. Intervention
 |  |  |  |  |  |

**25.5 Supervisors establish a process to identify a Group-wide supervisor for all cross-border insurance groups.**

1. Does YOUR AUTHORITY have a process to identify a group-wide supervisor for all cross-border insurance groups, where **the head of the group is in YOUR JURISDICTION**?
	1. Yes.
	2. No.
	3. This question is not applicable, because there are no cross-border insurance groups, where the head of the group is in YOUR JURISDICTION.
2. To what extent has a group-wide supervisor been identified for cross-border insurance groups, where **the head of the group is in YOUR JURISDICTION**?
	1. In all cases, a group-wide supervisor has been identified.
	2. In most cases, a group-wide supervisor has been identified.
	3. In some cases, a group-wide supervisor has been identified.
	4. In no case has a group-wide supervisor been identified.
	5. This question is not applicable, because there are no cross-border insurance groups, where the head of the group is in YOUR JURISDICTION.
3. Does YOUR AUTHORITY have a process to identify a group-wide supervisor for all cross-border insurance groups, where **the head of the group is in another jurisdiction**?
	1. Yes.
	2. No.
	3. This question is not applicable, because there are no cross-border insurance groups with operations in YOUR JURISDICTION, where the head of the group is in another jurisdiction.
4. To what extent has a group-wide supervisor been identified for cross-border insurance groups with operations in YOUR JURISDICTION, where **the head of the group is in another jurisdiction**?
	1. In all cases, a group-wide supervisor has been identified.
	2. In most cases, a group-wide supervisor has been identified.
	3. In some cases, a group-wide supervisor has been identified.
	4. In no case has a group-wide supervisor been identified.
	5. This question is not applicable, because there are no cross-border insurance groups with operations in YOUR JURISDICTION, where the head of the group is in another jurisdiction.

**25.6 The designated group-wide supervisor takes responsibility for initiating discussions on suitable coordination arrangements, including establishing a supervisory college, and acts as the key coordinator or chairman of the supervisory college, where it is established. Other involved supervisors participate with the Group-wide supervisor in coordination discussions and in the supervisory college.**

1. Where YOUR AUTHORITY is the designated group-wide supervisor, to what extent does it take responsibility for initiating discussions on suitable coordination arrangements, including establishing a supervisory college?
	1. In all such cases, YOUR AUTHORITY initiates discussions on suitable coordination arrangements.
	2. In most such cases, YOUR AUTHORITY initiates discussions on suitable coordination arrangements. In the other cases, it participates in discussions led by another supervisor.
	3. In some such cases, YOUR AUTHORITY initiates discussions on suitable coordination arrangements. In the other cases, it participates in discussions led by another supervisor.
	4. In most such cases, YOUR AUTHORITY participates in discussions led by another supervisor. In the other cases, it initiates discussions on suitable coordination arrangements.
	5. In all such cases, YOUR AUTHORITY participates in discussions led by another supervisor.
	6. In no such case is there any discussion on suitable coordination arrangements.
	7. This question is not applicable, because there are no cases where YOUR AUTHORITY is the designated group-wide supervisor.
2. Where YOUR AUTHORITY is the designated group-wide supervisor, to what extent does it act as the key coordinator or chairman of the supervisory college, where one has been established?
	1. In all such cases, YOUR AUTHORITY acts as the key coordinator or chairman of the supervisory college.
	2. In most such cases, YOUR AUTHORITY acts as the key coordinator or chairman of the supervisory college.
	3. In some such cases, YOUR AUTHORITY acts as the key coordinator or chairman of the supervisory college.
	4. In most such cases, YOUR AUTHORITY does not act as the key coordinator or chairman of the supervisory college.
	5. In no such case does YOUR AUTHORITY act as the key coordinator or chairman of the supervisory college.
	6. This question is not applicable, because there are no cases where YOUR AUTHORITY is the designated group-wide supervisor and a supervisory college has been established.
	7. This question is not applicable, because there are no cases where YOUR AUTHORITY is the designated group-wide supervisor.
3. Where YOUR AUTHORITY is an involved supervisor[[1]](#footnote-1), to what extent does it participate with the group-wide supervisor in discussions on suitable coordination arrangements?
	1. In all such cases, YOUR AUTHORITY participates in discussions on suitable coordination arrangements.
	2. In most such cases, YOUR AUTHORITY participates in discussions on suitable coordination arrangements.
	3. In some such cases, YOUR AUTHORITY participates in discussions on suitable coordination arrangements.
	4. In such cases, YOUR AUTHORITY seldom if ever participates in discussions on suitable coordination arrangements.
	5. In no such case is there any discussion on suitable coordination arrangements.
	6. This question is not applicable, because there are no cases where YOUR AUTHORITY is not the designated group-wide supervisor.
4. Where YOUR AUTHORITY is an involved supervisor, to what extent does it participate in the supervisory college, where one has been established?
	1. In all such cases, YOUR AUTHORITY participates regularly in the supervisory college.
	2. In most such cases, YOUR AUTHORITY participates regularly in the supervisory college. In other cases, it participates occasionally.
	3. In most such cases, YOUR AUTHORITY participates occasionally in the supervisory college.
	4. In some such cases, YOUR AUTHORITY participates occasionally in the supervisory college. In other cases, it seldom if ever participates.
	5. YOUR AUTHORITY seldom if ever participates in supervisory colleges.
	6. This question is not applicable, because there are no cases where YOUR AUTHORITY is the not the designated group-wide supervisor and a supervisory college has been established.

**25.7 There is appropriate flexibility in the establishment of a supervisory college – both when to establish and the form of its establishment – and other coordination mechanisms to reflect their particular role and functions.**

1. In the opinion of YOUR AUTHORITY, during the last three years, to what extent has YOUR AUTHORITY shown appropriate flexibility regarding the following aspects of coordination arrangements with respect to the supervision of insurance groups **based in YOUR JURISDICTION as a group-wide supervisor**?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always | 2. Usually | 3. Sometimes | 4. Seldom if ever | 5. Not applicable, because such issues relating to flexibility did not arise during the last three years | 6. Not applicable, because there are no insurance groups for which coordination arrangements would be relevant |
| 1. Whether to establish a coordination arrangement
 |  |  |  |  |  |  |
| 1. When to establish a coordination arrangement
 |  |  |  |  |  |  |
| 1. Type of coordination arrangement
 |  |  |  |  |  |  |
| 1. Operational structure and membership
 |  |  |  |  |  |  |

1. In the opinion of YOUR AUTHORITY, during the last three years, to what extent has YOUR AUTHORITY shown appropriate flexibility regarding the following aspects of coordination arrangements with respect to the supervision of insurance groups **based in other jurisdictions as a host supervisor**?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always | 2. Usually | 3. Sometimes | 4. Seldom if ever | 5. Not applicable, because such issues relating to flexibility did not arise during the last three years | 6. Not applicable, because there are no insurance groups for which coordination arrangements would be relevant |
| 1. Whether to establish a coordination arrangement
 |  |  |  |  |  |  |
| 1. When to establish a coordination arrangement
 |  |  |  |  |  |  |
| 1. Type of coordination arrangement
 |  |  |  |  |  |  |
| 1. Operational structure and membership
 |  |  |  |  |  |  |

**25.8 The designated group-wide supervisor establishes the key tasks of the supervisory college and other coordination mechanisms. Other involved supervisors undertake the functions of the supervisory college as agreed.**

1. Where YOUR AUTHORITY is the designated group-wide supervisor, to what extent has it established the key tasks of the supervisory college and other coordination mechanisms?
	1. In all such cases, YOUR AUTHORITY has established the key tasks of the supervisory college and other coordination mechanisms.
	2. In most such cases, YOUR AUTHORITY has established the key tasks of the supervisory college and other coordination mechanisms.
	3. In some such cases, YOUR AUTHORITY has established the key tasks of the supervisory college and other coordination mechanisms.
	4. In most such cases, YOUR AUTHORITY has not established the key tasks of the supervisory college and other coordination mechanisms.
	5. In no such case has YOUR AUTHORITY established the key tasks of the supervisory college and other coordination mechanisms.
	6. This question is not applicable, because there are no cases where YOUR AUTHORITY is the designated group-wide supervisor and a supervisory college or other coordination mechanism has been established.
	7. This question is not applicable, because there are no cases where YOUR AUTHORITY is the designated group-wide supervisor.
2. Where YOUR AUTHORITY is the designated group-wide supervisor, to what extent do the key tasks of the supervisory college and other coordination mechanisms include the following?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. In all cases | 2. In most cases | 3. In some cases | 4. In a few cases | 5. In no cases  | 6. Not applicable |
| 1. Information sharing
 |  |  |  |  |  |  |
| 1. Assessment of risk exposures
 |  |  |  |  |  |  |
| 1. Assessment of corporate governance, risk management and internal controls
 |  |  |  |  |  |  |
| 1. Assessment of capital adequacy and other aspects of financial soundness
 |  |  |  |  |  |  |
| 1. Assessment of intra-group relationships
 |  |  |  |  |  |  |
| 1. Coordinated supervisory activities, for example, joint inspections
 |  |  |  |  |  |  |
| 1. Specialisation, for example, special focus teams
 |  |  |  |  |  |  |
| 1. h. Coordination in advance of or response to a crisis situation
 |  |  |  |  |  |  |
| 1. Liaison with insurer management
 |  |  |  |  |  |  |
| 1. Regular assessment of the effectiveness of the coordination mechanism
 |  |  |  |  |  |  |

1. During the last three years, where YOUR AUTHORITY has been an involved supervisor in supervisory colleges or other coordination mechanisms, to what extent has YOUR AUTHORITY participated in undertaking the following tasks?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always | 2. Usually | 3. Sometimes | 4. Seldom if ever | 5. The task was not undertaken under any of the supervisory colleges or other coordination mechanisms during the last three years | 6. Not applicable |
| 1. Information sharing
 |  |  |  |  |  |  |
| 1. Assessment of risk exposures
 |  |  |  |  |  |  |
| 1. Assessment of corporate governance, risk management and internal controls
 |  |  |  |  |  |  |
| 1. Assessment of capital adequacy and other aspects of financial soundness
 |  |  |  |  |  |  |
| 1. Assessment of intra-group relationships
 |  |  |  |  |  |  |
| 1. Coordinated supervisory activities, for example, joint inspections
 |  |  |  |  |  |  |
| 1. Specialisation, for example, special focus teams
 |  |  |  |  |  |  |
| 1. Coordination in advance of or response to a crisis situation
 |  |  |  |  |  |  |
| 1. Liaison with insurer management
 |  |  |  |  |  |  |
| 1. Regular assessment of the effectiveness of the coordination mechanism
 |  |  |  |  |  |  |

**25.9 The designated group-wide supervisor understands the structure and operations of the group. Other involved supervisors understand the structure and operations of parts of the group at least to the extent of how operations in their jurisdictions could be affected and how operations in their jurisdictions may affect the group.**

1. Where YOUR AUTHORITY is the designated group-wide supervisor, to what extent have the following steps been taken to enable YOUR AUTHORITY to understand the structure and operations of the group?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. In all cases | 2. In most cases | 3. In some cases | 4. In a few cases | 5. In no cases | 6. Not applicable |
| 1. A detailed description or chart of the structure of the group has been prepared
 |  |  |  |  |  |  |
| 1. A comprehensive summary of the operations of the group has been prepared
 |  |  |  |  |  |  |
| 1. Comprehensive financial information on the group is received regularly and analysed
 |  |  |  |  |  |  |
| 1. Comprehensive non-financial information on the operations of the group is received regularly and analysed
 |  |  |  |  |  |  |
| 1. Meetings are held regularly with the head of the group
 |  |  |  |  |  |  |
| 1. Information on the operations of the group is received and discussed regularly through a supervisory college or other coordination mechanism
 |  |  |  |  |  |  |

1. Where YOUR AUTHORITY is an involved supervisor, to what extent have the following steps been taken to enable YOUR AUTHORITY to understand the structure and operations of the group at least to the extent of how operations in YOUR JURISDICTION could be affected and how operations in YOUR JURISDICTION may affect the group?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. In all cases | 2. In most cases | 3. In some cases | 4. In a few cases | 5. In no cases | 6. Not applicable |
| 1. A detailed description or chart of the structure of the group, or at least the parts of the group relevant to YOUR AUTHORITY, is available to YOUR AUTHORITY
 |  |  |  |  |  |  |
| 1. A comprehensive summary of the operations of the group, or at least the parts of the group relevant to YOUR AUTHORITY, is available to YOUR AUTHORITY
 |  |  |  |  |  |  |
| 1. Comprehensive financial information on the group is received regularly and analysed, and the results that are relevant to YOUR AUTHORITY are available to it
 |  |  |  |  |  |  |
| 1. Comprehensive non-financial information on the operations of the group is received regularly and analysed, and the results that are relevant to YOUR AUTHORITY are available to it
 |  |  |  |  |  |  |
| 1. YOUR AUTHORITY holds regular meetings with the management of the operations in YOUR JURISDICTION
 |  |  |  |  |  |  |
| 1. If the group-wide supervisor holds meetings with the head of the group, YOUR AUTHORITY either participates in such meetings or is informed of the results that are relevant to it
 |  |  |  |  |  |  |
| 1. Information on the operations of the group is received and discussed regularly through a supervisory college or other coordination mechanism, in which YOUR AUTHORITY participates
 |  |  |  |  |  |  |

**25.10 The designated group-wide supervisor takes the appropriate lead in carrying out the responsibilities for group-wide supervision. A group-wide supervisor takes into account the assessment made by the legal entity supervisors as far as relevant.**

1. During the last three years, where YOUR AUTHORITY is the designated group-wide supervisor, to what extent has it taken the appropriate lead in carrying out the responsibilities within the following areas that might be addressed by group-wide supervision?

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
|  | 1. Always | 2. Usually | 3. Sometimes | 4. Seldom if ever | 5. This area was not addressed under any of the supervisory colleges or other coordination mechanisms during the last three years | 6. Not applicable |
| 1. Suitability of persons
 |  |  |  |  |  |  |
| 1. Corporate governance
 |  |  |  |  |  |  |
| 1. Internal controls
 |  |  |  |  |  |  |
| 1. Group-wide risk analysis
 |  |  |  |  |  |  |
| 1. Capital adequacy on a group-wide basis
 |  |  |  |  |  |  |
| 1. Information sharing and key contact point function
 |  |  |  |  |  |  |

1. During the last three years, where YOUR AUTHORITY is the designated group-wide supervisor, to what extent have you taken into account the assessments made by the involved supervisors?
	1. Relevant assessments made by the involved supervisors were always taken into account.
	2. Relevant assessments made by the involved supervisors were usually taken into account.
	3. Relevant assessments made by the involved supervisors were sometimes taken into account.
	4. Relevant assessments made by the involved supervisors were seldom taken into account.
	5. Relevant assessments made by the involved supervisors were never taken into account.
	6. Not applicable, because YOUR AUTHORITY is not a designated group-wide supervisor.

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1. Involved supervisors: Supervisors engaged in the supervision of an insurance group. Depending on the circumstances of the particular insurance group and the jurisdictions in which it operates, it could include all supervisors engaged in the supervision of entities within the insurance group. [↑](#footnote-ref-1)