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# Introduction

Since 2017, the International Association of Insurance Supervisors (IAIS) has been working to provide three distinct assessment tools to IAIS Members under the umbrella of its Coordinated Implementation Framework (CIF). These tools are the Self-Assessment Portal (SAP), the Peer Review Process (PRP) and the Member Assessment Process (MAP).

The objective of this survey is to allow us to gather information on member awareness of our assessment tools and the likely future demand for these tools. Your input will help to shape the future of IAIS’s assessment activities. It should not take longer than fifteen minutes to complete the survey. Members are asked to complete the survey by 28 May 2020.

Important: Please ensure that all of your responses have been approved as final before beginning the process of answering the questions. Additionally, if you do not wish to comment on a question, please enter “N/A” in the comment box. A word document of the survey is available on the IAIS home page at:

<https://www.iaisweb.org/page/supervisory-material/implementation-and-capacity-building/assessments>

If you have any question(s) in relation to filling out the questionnaire, please submit your question(s) to the IAIS Secretariat (Rogier.Derksen@bis.org) for further information in order to assist you to complete the survey properly.

***Please enter your Email Address***:

(\*Required for this survey)

***Please Enter Your Jurisdiction Name****:*

(\*Required for this survey)

***Please Enter Your Authority Name****:*

(\*Required for this survey)

# Self Assessment Portal (SAP)

**Background: A2ii Self Assessment Portal[[1]](#footnote-1) was launched in November 2019 with a beta version and is planned to complete in 2020. The Tool is designed to offer you a high level automated feedback on the extent to which you comply with Insurance Core Principles (ICPs).**

1. Prior to this questionnaire were you aware of the Self Assessment Portal?

 □ Yes (If you choose “Yes”, please go to question 2)

 □ No (If you choose “No”, please go to question 4)

1. Have you, or one of your colleagues used the Portal to assess your compliance with an Insurance Core Principle (ICP)?

□ Yes (If you choose “Yes”, please go to question 3)

 □ No (If you choose “No”, please go to question 4)

1. To what extent did you find the feedback of individual report you received helpful? (skip to question 4 once answered)

□ Helpful

□ Very helpful

□ Unhelpful

1. What areas of the portal would you like to see developed further to enhance its utility for you? (skip to question 5 once answered)

Please elaborate your response in the comment box below.

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**Peer Review Process (PRP)**

**Background: The PRP involves completing a questionnaire on how you comply with one or more ICPs. Your responses are then assessed by a volunteer IAIS Expert Team, which provides tailored feedback on your compliance with the ICPs. The insights gained from the work are then combined in a thematic aggregate report, which is published. As well as providing general information on the level of ICP(s) observance, this thematic report highlights potentially useful practices followed by some members to implement different aspects of an ICP. Individual Members’ ratings only appear on the Members Only section of the IAIS-Members Extranet rather than in the public version of the thematic report.**

1. Have you heard of the IAIS Peer Review Process (formerly known as the Self Assessment and Peer Review)?

 □ Yes (If you choose “Yes”, please go to question 6)

 □ No (If you choose “No”, please go to question 19)

1. Did your Authority take part in the PRP on ICPs 1 and 2?

 □ Yes (If you choose “Yes”, please go to question 8)

 □ No (If you choose “No”, please go to question 7)

1. Why did you not take part in the PRP on ICPs 1 and 2? (skip to question 11 once answered)

□ Did not feel relevant

□ Too busy

□ Did not hear about it

□ The questionnaire was too long

□ The period to complete the questionnaire was too short

□ Other

Please elaborate (if answered Other):

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1. To what extent did you find the feedback of individual report you received helpful? (skip to question 9 once answered)

□ Helpful

□ Very helpful

□ Unhelpful

Please elaborate (if unhelpful):

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1. What features of the PRP did you find most valuable? (skip to question 10 once answered)

Please elaborate your response in the comment box below.

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1. What improvements would you like to see made to the PRP? (skip to question 11 once answered)

Please elaborate your response in the comment box below.

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1. Did you read the thematic aggregate report summarising IAIS’s findings on the implementation of ICP 1 and 2[[2]](#footnote-2) published on IAIS website?

 □ Yes (If you choose “Yes”, please go to question 12)

 □ No (If you choose “No”, please go to question 13)

1. To what extend did you find the thematic report helpful? (skip to question 13 once answered)

 □ Helpful

□ Very helpful

□ Unhelpful (Please elaborate)

Please elaborate (if unhelpful):

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1. Is your authority taking part in the PRP on ICPs 4,5,7 and 8?

 □ Yes (If you choose “Yes”, please go to question 15)

 □ No (If you choose “No”, please go to question 14)

1. Why is your authority not taking part in the PRP? (skip to question 16 once answered)

 □ Did not feel relevant

□Too busy

□Did not hear about it

□The questionnaire was too long

□The period to complete the questionnaire was too short

□Other

Please elaborate (if answered Other):

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1. Is there any feedback you would like to provide us with on the process followed for this PRP to date? (skip to question 16 once answered)

 Please elaborate your response in the comment box below.

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1. Is your Authority taking part in the PRP on ICP 19?

 □ Yes (If you choose “Yes”, please go to question 18)

 □ No (If you choose “No”, please go to question 17)

1. Why did you not take part in the PRP? (skip to question 18 once answered)

 □ Did not feel relevant

□ Too busy

□ Did not hear about it

 □ The questionnaire was too long

□ The period to complete the questionnaire was too short

□ Other

Please elaborate (if answered Other):

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1. Would your Authority potentially be willing to provide a skilled supervisor to join an Expert Team undertaking a future PRP[[3]](#footnote-3)? (skip to question 19 once answered)

 □ Yes

 □ No

**Member Assessment Process (MAP)**

**Background: The MAP is an in-depth review of how a Member has implemented all its Insurance Core Principles (ICPs). Whilst its focus is confined to the ICPs, the MAP involves an on the ground inspection by an IAIS Expert Assessment Team for c. two weeks. The team then produces a detailed report on how the Member has implemented the ICPs in its jurisdiction. Following a feedback loop with the assessed members and a rigorous quality control process undertaken by Member Review Panel comprising senior IAIS officers and the assessed members. The IAIS then publishes the report. The report contains detailed tailored recommendations to the Member for improving its level of compliance of implementation of the ICPs. Several MAPs are currently underway and one has been published to date[[4]](#footnote-4). Such reports can be helpful for stakeholders in understanding the level of compliance with international insurance standards reached in their jurisdiction and how to improve them.**

1. Had you heard of the Member Assessment Process prior to reading this questionnaire?

 □ Yes (If you choose “Yes”, please go to question 20)

 □ No (If you choose “No”, please go to question 20)

1. Do you think you might be interested in having a MAP in your jurisdiction to help provide you with assurance about your compliance with ICPs as well as with recommendations for future improvement?

 □ Yes (If you choose “Yes”, please go to question 21)

 □ No (If you choose “No”, please go to question 25)

1. If you might be interested in having a MAP undertaken, in what timescale might you be interested? (skip to question 22 once answered)

(\*Please note IAIS has no capacity to undertake any not already planned within the next year 2021.)

 □ 1-2years

□ 2-3 years

□ 3-4 years

□ Over 5 years

1. MAPs are quite expensive to deliver because the cost of an “on the ground team” of 3-5 persons led by an experienced assessor to undertake an assessment is quite high, even though a number of the Assessment Team are volunteers from other Members. If you were to apply formally to be assessed, would you be willing to contribute funds (e.g. USD 20,000) to a pooled IAIS assurance fund, which would be used to support the costs of a number of IAIS MAP assessments over the next 3-4 years?

*(\*Please note that answering “Yes” to this question does not formally commit you to being assessed or to contributing the funds to IAIS – we are simply trying to gauge likely demand for MAP assessments to allow for appropriate resource planning.)*

 □ Yes (If you choose “Yes”, please go to question 25)

 □ No (If you choose “No”, please go to question 23)

1. If the assessment could be delivered in return for a smaller contribution of e.g. USD 10,000, would you be potentially be interested in being assessed?

 □ Yes (If you choose “Yes”, please go to question 25)

 □ No (If you choose “No”, please go to question 24)

1. Why would you not be willing to contribute to the considerable cost of an in depth individual assessment? (skip to question 25 once answered)

Please elaborate your response in the comment box below.

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1. We are considering establishing a training programme for expert assessors employed by Members to equip them to undertake MAP assessments. If we were to set up a programme, would you volunteer a member (or more) of staff for one week’s training?

(\*The training would be provided free of charge but you would need to pay travel expenses.)

 □ Yes (If you choose “Yes”, please go to question 26)

 □ No (If you choose “No”, please go to question 27)

1. If a condition of the training is that the member of staff we trained would form part of one IAIS Assessment Team in the two years after he or she was trained (e.g. six weeks work), would you be happy to support the commitment?

 □ Yes (If you choose “Yes”, please go to question 28)

 □ No (If you choose “No”, please go to question 27)

1. What level of commitment (if any) would you be prepared to make to the IAIS Assessment programme in return for IAIS training a member of your staff as an assessor? (skip to question 28 once answered)

Please elaborate your response in the comment box below.

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1. Please explain why you think a MAP assessment would or would not be useful for your jurisdiction?

 Please elaborate your response in the comment box below.

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1. SAP is a**s** known as Self Assessment Tool: **https[://a2ii.org/en/knowledge-center/icp-self-assessment](https://a2ii.org/en/knowledge-center/icp-self-assessment))** [↑](#footnote-ref-1)
2. Aggregate report of PRP on ICP 1 and 2: <https://www.iaisweb.org/page/supervisory-material/implementation-and-capacity-building/assessments/file/87260/aggregate-report-of-prp-on-icps-1-and-2-public-publication> [↑](#footnote-ref-2)
3. This would probably require four to eight weeks of desk based work spread over the course of a calendar year [↑](#footnote-ref-3)
4. Assessment report MAP Guernsey: <https://www.gfsc.gg/sites/default/files/uploads/Assessment_Report_MAP_Guernsey_2018-2019.pdf> [↑](#footnote-ref-4)