

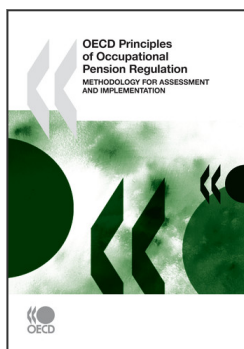
## II. Country Background and National Regulatory Framework

This section outlines the type of information that a reviewer will need to form an assessment about the importance of individual principles for the private pensions regulatory framework in a jurisdiction and in forming questions relevant for a judgement about the associated Implementing Guidelines.

Appendix I to this paper presents a list of questions to be asked in order to gather relevant information and background material in order to be able to form a comprehensive understanding of the pension system in light of an evaluation. The questions cover the following 4 main topics:

- *The Structure and Operation of the Pension System:* It is important for the reviewer to have an understanding of the overall structure and operation of the pensions in the jurisdiction under question. It is essential to have an understanding of both private pensions and state-provided pensions in a jurisdiction and their relative importance as income during retirement. The reviewer must not only understand what is “market practice” in the jurisdiction under question, but also the historical and national context under which market practice and the regulatory environment with respect to pensions has developed. This includes an understanding of past crises and scandals that have helped shape the pensions environment in the jurisdiction.
- *The Regulatory and Supervisory Framework:* The reviewer must have an understanding of the jurisdiction’s current regulatory and supervisory framework in order to make a judgement on where the jurisdiction’s private pensions regulation currently stands in relation to the Core Principles.
- *Pensions Statistics:* Statistical information as to the prevalence of different types of private pension plans and coverage will prove helpful to the reviewer. The reviewer should also know the prevalence of different types of pensions plans (for example, the percentage of pension plans that are defined contribution in nature) and the prevalence and size of various forms of pension plan financing.

- *Additional Information:* Other information that could be helpful to the reviewer would be copies similar reviews that may have been performed in the past by, for instance, the World Bank, the International Monetary Fund, the International Association of Insurance Supervisors and the International Organisation for Pension Supervisors.



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