

## PA 2023 List of surveys and questionnaires

Questionnaire/ Survey/ Other	Purpose	Responsible PA Division	Impacted sectors	Period of survey/ questionnaire (calendar year)
1. Flavour of the year: Organisational Resilience	Assess institutions organisational resilience capabilities	Operational Risk/ Frontline Teams	All	Quarter 1
2. Bank of International Settlements (BIS) Basel Committee on Banking Supervision (BCBS) Quantitative Impact Study Group Data - Basel III reform package	Assess BCBS member jurisdiction readiness to implement reforms	Capital Management & Risk Support Department (RSD)	Banks	Quarter 1
3. BIS BCBS Quantitative Impact Study Group Data - Supervisory Reporting System	Assess BCBS member jurisdictions reporting on reforms previously implemented	Capital Management	Banks	Quarter 1
4. Principles for sound liquidity risk management - self assessment	Principles for sound liquidity risk management - self assessment	Asset and Liability Management (ALM) Division	Banks	Quarter 1
5. Johannesburg interbank average rate (JIBAR) exposure survey	JIBAR exposure survey	ALM Division	Banks and Insurers	Quarterly
6. Insurance Capital Standard Field-testing	Insurance Capital Standard Data collection	Capital Management	Insurers	Quarter 2
7. Operational Risk Maturity Assessment Questionnaire	Assess Operational risk maturity	Operational Risk	Banks, Mutual Banks, Insurers, MIs	Quarter 2
8. Cyber Risk Questionnaire	Assess Cyber risk maturity	Operational Risk	Banks, Mutual Banks, Insurers, MIs	Quarter 2
9. IT Risk Questionnaire	Assess IT risk maturity	Operational Risk	Banks, Mutual Banks, Insurers, MIs	Quarter 3
10. BIS BCBS Quantitative Impact Study Group Data - Basel III reform package	Assess BCBS member jurisdiction readiness to implement reforms	Capital Management & RSD	Banks	Quarter 3

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11. BIS BCBS Quantitative Impact Study Group Data - Supervisory Reporting System	Assess BCBS member jurisdictions reporting on reforms previously implemented	Capital Management	Banks	Quarter 3
12. Negative Rand Reserves	The Financial Sector Assessment Programme (FSAP) recommended that the PA conducts targeted inspections on estimations in insurers with high reliance on future profits in their capital resources with a view to consider revisions. The thematic review aims to determine whether or not there is consistency in the way in which these future profits are recorded by various life insurers in the industry, i.e. taking into consideration the current accounting policies, earnings recognition, reasonability of assumptions and margins used, and the control environment for the adjustment of margins.	Actuarial Division	Life insurers	Quarter 3
13. Lapses and Surrenders	The FSAP recommended that the PA conducts deep analysis and/or joint inspections on the seemingly high lapse and surrender products rates. The thematic review will consider which lines of business and product types contribute to the lapse and surrender rates experienced in the life insurance industry, as well as the driving factors behind these rates and how insurers are addressing this to improve their experience.	Actuarial Division	Life insurers	Quarter 3

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14. Questionnaire relating to a Market Infrastructures proposed initiatives	Initial information sharing on any proposed initiatives that may be undertaken by a Market Infrastructure (MI) i.e., strategic partnership / change in shareholding / outsourcing / joint ventures / platform-based business model / new products and services and/ or any other proposed additional business	Financial Market Infrastructures Division	Market infrastructures	To be confirmed

**Note:** There may also be ad hoc requests that may emerge either internally within the PA or externally from international bodies, which the PA will need to assess by forwarding information requests to the targeted regulated entities where such work is deemed crucial to the mandate of the PA. A specific example of additional information requests is on the recent inclusion of South Africa on the Financial Action Task Force (FATF) grey-list. As part of the next steps, the PA will likely request relevant information from certain regulated institutions to enable the PA to continue putting in place improvements to meet the FATF requirements.