



Prudential Communication 2 of 2023

2023 List of planned PA surveys and questionnaires

Objective of this Prudential Communication

This communication provides the list of surveys and questionnaires that the Prudential Authority is planning to request the regulated institutions to submit during the 2023 calendar period.

1. Application

- 1.1 This Prudential Communication is applicable to all financial institutions supervised by the Prudential Authority (PA).

2. Purpose

- 2.1 The purpose of this Prudential Communication is to share the list of surveys and questionnaires planned by the PA for 2023 to allow the industry to adequately plan and allocate their required resources accordingly.

3. Introduction

- 3.1 From time-to-time, the PA identifies areas of focus as informed by emerging risks, themes and trends. Some of these may be taken forward as *Flavour of the year* or *Thematic review* priorities and topics.
- 3.2 The PA uses various channels to solicit the required information for analysing against the priorities. For the 2023 supervisory calendar, the PA will discuss these topics within prudential meetings to be held with the regulated financial institutions' governing body members as well as heads of control functions.
- 3.3 Some information will be solicited through questionnaires or surveys as a way of assessing the posture of the regulated institutions per priority, topic or theme.
- 3.4 The outcome of the various assessments will, in turn, inform the refinement and/or development of regulatory instruments and guidance.
- 3.5 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.

4. Planned surveys and questionnaires

4.1 The PA's planned surveys and questionnaires can be found in the attached document.

5. Communication

5.1 The relevant PA teams will communicate with the impacted institutions based on the estimated dates in the abovementioned list.

5.2 Any enquiries regarding this communication must be directed to PA-INFO@resbank.co.za.

Fundi Tshazibana
Chief Executive Officer

Date:

Encl.