RESCINDED

Any attachments to this document are rescinded only as they relate to national banks and federal savings associations.

EXAMINATION MANAGEMENT CHECKLIST

Association: ______________________ **Docket No.:** ______________

Address: ______________________ ______________

Managing Officer name and title: ______________________ ______________

Exam Type: ______________________ **Start Date:** ______________

Review Period: ______________________

Examiner(s)-in-Charge

Safety and Soundness: ______________________

Compliance: ______________________

Field Manager: ______________________

Assistant Regional Director: ______________________

Prior to the Examination	
No later than 60 days prior to exam	**Initial When Completed**
Contact ARD/FM/Lead Compliance Examiner/Office Examiner/Financial Analyst/CRA Specialist to discuss the following (contact association management for an update, if warranted):	
• Developments at the association since the prior examination	
• Staffing and assignments	
• Potential need for specialists, including:	
– Credit specialist	
– Capital Market examiners	
– Appraiser	
– Accountant	
– Trust examiner	
– Information technology specialist	
• Items to be reviewed /prepared prior to final customization of the PERK:	
• Travel issues	
• Telecommuting options	
• Involvement of other agencies, if applicable	
• Application Condition Monitoring Report, if applicable	
Date of Meeting/Discussion:	

45 to 60 days prior to exam	Initial When Completed
Review information to customize exam scope and the PERK PAC:	
• Prior ROEs/Work papers/Board Responses/EDS data	
• ECEF (TFR/UTPR/Association Profile/Enforcement Actions/Application History/etc.)	
• OTS Correspondence Files	
• Business Plans/Board of Directors Minutes/Audits/Any other information sent to OTS during review period	
• FDIC Website (Branches/Market Share/Financial Analysis)	
• Consumer Complaint Records/Reports	
• Information regarding litigation	
• CRA Wiz Reports	
• IRS/FinCEN Reports (SARs, CTRs, etc.)	
Complete Examination Scope Worksheet with assistance from Compliance EIC and submit to ARD/FM for approval	

No later than 30 days prior to exam	Initial When Completed
Finalize and send PERK – Date sent:	
Input PERK Mail Date online	
Ensure CRA PERK is included in the PERK, if applicable	
Contact CRA Specialist for preparation of fair lending summaries	
E-mail assisting examiners regarding assignments, travel issues, telecommuting options, and other logistical information	

No later than one week before exam	Initial When Completed
Finalize Scope Worksheet	
Review ILDR and LARs and create loan samples	
Contact CEO regarding exam logistics (start time, dress code, etc.) and to schedule initial meeting	
E-mail assisting examiners with any additional information obtained since initial e-mail	
Complete and submit an exam supply checklist	
Send prior exam work papers, supplies, etc. to exam site, if applicable	
Review telecommute requests and forward to ARD/FM for approval	

During the Examination	
First week of exam	**Initial When Completed**
Input exam start date online and download the appropriate ROE shell	
Input PERK complete date online	
Provide phone number(s) to appropriate personnel	
Conduct initial meeting with CEO/senior management	
Establish ongoing meetings with management of savings association	
Establish ongoing updates with ARD/FM/Compliance EIC/CRA Specialist	
Discuss scope and assignments with assistants, including time for completion	
Ensure timely receipt and dissemination of PERK materials	
Distribute exam shells to appropriate examiners by including them in "working group" when shell is downloaded	

Ongoing	**Initial When Completed**
Coordinate schedules/timeframes	
Establish exit meeting and other meeting dates	
Coordinate interactions with association staff (control flow of memos and findings sheets)	
Provide exception sheets to association management for its review and response, if necessary	
Adjust scope and exam procedures to address issues/findings/concerns and reallocate resources if warranted; discuss with ARD/FM	
Ensure all required Compliance programs are completed, including programs required for at least one examination cycle after a new or amended regulation goes into effect. Compliance minimums:	
• Compliance Oversight Examination Program (COEP)	
• Fair Lending	
• BSA/ OFAC/ USA PATRIOT Act	
• Flood	
• Truth in Lending	
Communicate with other agencies as warranted	
Monitor the following:	
• Telecommuting issues	
• Travel issues	
• WebTA/Leave issues	
Prepare updates for FM/ AD, and regional scheduler on the status of the exam, if necessary. (For example, changes to staffing, requests for additional examiners, early release of examiners, or requests for extension of exam.)	
Review work papers to ensure that conclusions and ratings are supported	

Prepare preliminary findings and conclusions	
Draft ROE comments and edit comments prepared by assisting examiners. Verify completion of: • Matters Requiring Board of Attention page • Risk Assessment Summary page • Concentrations page	
Discuss findings, conclusions, and potential ratings with ARD/FM and obtain concurrence prior to exam exit meeting. Discuss any compliance issues with regional compliance examiner.	
Enforcement Review Committee needed?	
Prepare exam exit meeting agenda and conduct meeting	
Assemble OTS materials (work papers, reference materials, supplies) for shipment	
Return association materials	
Complete ROE and upload Field Final	
Input exam completion date in EDS	
Input EDS information: • Ratings • Supplemental • Reportable Data • Compliance • Follow-Up tab: – Matters Requiring Board Attention – Corrective actions – Check appropriate BSA box	
Prepare memo and update Scope Worksheet for inclusion in Administration File that sets forth information for the next exam, i.e., areas that should be reviewed next field visit or exam, new activities or management that were not in place during the full review period.	
Request assistant examiners' completed Examiner Self Assessment forms	
Initiate PERK PAC for next exam	

Post-Examination	
Issue ROE: • Within 30 days – "1" or "2" composite ratings • Within 45 days – "3," "4," or "5" composite ratings	
ROE Response Due Date (if required):	
ROE Response Reviewed (if applicable)	
Enforcement Review Committee Scheduled date:	
Conduct the Board meeting	
Complete and discuss examiner assignment records with examiners and case FM/ ARD	
Discuss ongoing role of EIC with ARD/FM, including possible role in ongoing	

monitoring of the association	
Finalize PERK PAC for next exam	
Update Regulatory Profile data and develop scoping recommendations for next exam	
Discuss findings with financial analyst/ review examiner	
Trust Exams – complete Trust Regulatory Profile, if applicable	
Ensure Holding Company ROE and rating are finalized, if applicable	
Close out any outstanding issues with other agencies, if applicable	
Update Application Condition Monitoring Report, if applicable	
Complete and transmit work paper documentation	
• Upload/review remaining electronic work papers	
• Ensure indexes of hard copy work papers identify all electronic work papers	
• Send hard copy work papers to ARD/FM/record center	
• Lock electronic work papers	
File this form in the Administration work papers at 060C	