

EXAMINATION MANAGEMENT CHECKLIST

Association: _____ **Docket No.:** _____
Exam Type: _____ **Start Date:** _____
Review Period: _____
Examiner(s)-in-Charge
Safety and Soundness: _____
Compliance: _____
Field Manager: _____
Assistant Regional Director: _____

Prior to the Examination

60+ days prior to exam	Initial When Completed
Contact ARD/FM/Compliance EIC/Office Examiner/Financial Analyst/CRA Specialist to discuss the following (contact association management for an update, if warranted):	
<ul style="list-style-type: none"> • Developments at the association since the prior examination 	
<ul style="list-style-type: none"> • Staffing and assignments 	
<ul style="list-style-type: none"> • Potential need for specialists, including: <ul style="list-style-type: none"> – Capital Market Examiners – Appraiser – Accountant – TRC Examiner/ IT Examiner 	
<ul style="list-style-type: none"> • Items to be reviewed /prepared prior to customization of the PERK 	
<ul style="list-style-type: none"> • Travel issues 	
<ul style="list-style-type: none"> • Telecommuting options 	
<ul style="list-style-type: none"> • Involvement of other agencies, if applicable 	
<ul style="list-style-type: none"> • Application Condition Monitoring Report, if applicable 	
Date of Meeting/Discussion:	

Appendix C: Examination Scheduling, Scoping,
and Management

Section 060

45 to 60 days prior to exam	Initial When Completed
Review items for the PERK customization	
<ul style="list-style-type: none"> • Prior ROEs/Work papers/Board Responses/EDS III 	
<ul style="list-style-type: none"> • ECEF (TFR/UTPR/Association Profile/Enforcement Actions/Application History/etc.) 	
<ul style="list-style-type: none"> • OTS Correspondence Files 	
<ul style="list-style-type: none"> • Business Plans/Board of Directors Minutes/Audits/Any other information sent to OTS during review period 	
<ul style="list-style-type: none"> • FDIC Website (Branches/Market Share/Financial Analysis) 	
<ul style="list-style-type: none"> • Consumer Complaint Records/Reports 	
<ul style="list-style-type: none"> • Information regarding litigation 	
<ul style="list-style-type: none"> • CRA Wiz Reports 	
<ul style="list-style-type: none"> • 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 45 days prior to exam	Initial When Completed
Customize and send out PERK – Date sent:	
Ensure CRA PERK is issued, if applicable – Date sent:	
Contact CRA Specialist for preparation of fair lending summaries	
E-mail assisting examiners regarding assignments, travel issues, telecommuting options, and other logistical information	

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 Exam Supply Checklist	
Send prior exam work papers, supplies, etc. to exam site	
Input exam start date online and download the appropriate ROE shell	
Review telecommute requests and forward to ARD/FM for approval	

During the Examination

First week of exam	Initial When Completed
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	
Distribute exam shells to appropriate examiners	

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 written summaries of findings and issues to association management for its review and response, if necessary	
Adjust scope to address issues/findings/concerns and reallocate resources if warranted; discuss with ARD/FM	
Review examiner work and work papers as completed	
Communicate with other agencies as warranted	
Review telecommute requests as submitted and forward to ARD/FM	
Monitor the following:	
• Telecommuting issues	
• Travel issues	
• WebTA/Leave issues	
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	
Discuss potential ratings with ARD/FM	

Last week of exam	Initial When Completed
Prepare for exit meeting	
Assemble OTS materials (work papers, reference materials, supplies) for shipment	
Return association materials	

Post-examination

	Initial When Completed
Complete ROE and upload Field Final	
<ul style="list-style-type: none"> • Send ROE to FDIC for review, if applicable 	
Input completion date online	
Input EDS information online (ratings, supplemental, reportable data)	
Complete and discuss examiner assignment records with examiners and case FM/ ARD	
Complete work paper documentation	
<ul style="list-style-type: none"> – Upload/review remaining electronic work papers 	
<ul style="list-style-type: none"> – Ensure indexes of hard copy work papers identify all electronic work papers 	
<ul style="list-style-type: none"> – Ensure electronic work papers include index of hard copy work papers 	
<ul style="list-style-type: none"> – Lock electronic work papers 	
<ul style="list-style-type: none"> – Send hard copy work papers to ARD/FM/record center 	
Discuss ongoing role of EIC with ARD/FM, including possible role in ongoing monitoring of the association	
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; send an electronic copy of the updated Scope Worksheet to the FM/ARD for filing on the ECEF	
Complete the Comprehensive Exam Feedback Form	
Recommend postings to ECEF	
Discuss findings with FAU/Office Examiner	
<ul style="list-style-type: none"> • Ensure Regulatory Profile is updated 	
Send original IT Overview Form and IT Update Form to regional office; file copies in Management work papers. (Not applicable if a separate IT exam is performed.)	
Trust Exams – complete Trust Regulatory Profile	
Ensure holding company ROE and rating are finalized, if applicable	
Prepare for the Board meeting, if applicable	
Prepare for ERC meeting, if applicable	
Close out any outstanding issues with other agencies, if applicable	
Update Application Condition Monitoring Report, if applicable	
Review response to ROE, if applicable	
File this form in the Administration work papers	