

SUGGESTED TIME FRAMES FOR COMPLETING AN EXAMINATION

Action Needed	Discussion	Optimal Due Date	Actual Date Completed
Pre-planning on-site/off-site	Review previous examination report, correspondence, develop preliminary scope and budget, complete 102Q, and discuss scope with the CFS.	90 - 120 days prior to commencement of examination.	
Hotel arrangements	Make hotel arrangements for the examination team. Take into consideration the city and season when making advance reservations. In addition, make hotel arrangements for the joint conference (JC) when the date is known. (Hotel arrangements are made for NCUA participants only.)	As soon as the schedule is set.	
Communication with the SSA (if state chartered)	Work with the SSA throughout the entire examination process. Discuss the examination scope, exit briefing date, joint conference date, examiner responsibilities, etc.	Throughout the examination process.	
Pre-exam letter to the CFS	E-Mail the pre-exam letter to the CFS. The CFS will put it on letterhead and FedEx back. Be sure the exit and JC dates have been discussed with the CFS, corporate, and SSA (if applicable). (On occasion this is issued by the SSA.)	60 days prior to being on-site for pre-exam.	
Notify Region	E-Mail the ARD-P of the appropriate region inviting a regional representative once the JC date is finalized.	As soon as the J.C. date is set.	
Pre-exam letter to the corporate	Send pre-exam letter, labeled file folders, and questionnaires to the corporate. Be sure to send copies to cc's on letter (SSA (if applicable) and OCCU).	30 days prior to being on-site for the pre-exam.	
CFS approval of the budget	E-Mail the final time budget to the CFS and ask for approval or comments prior to sending it to the team participants.	Prior to sending out the team memo.	
Team memo and information to exam participants	Send the team memo and time budget to the examination participants. Rental car assignments can be made if flight schedules are known, otherwise notify separately when travel plans are communicated. Send out previous CEMs either in the database or separately, prior examination report, and status of DORs and OEFs.	2 - 4 weeks prior to being on-site.	
Examination files and supplies sent to the corporate	Send prior examination work papers and other pertinent information to the corporate. This includes all correspondence since the prior examination (board packages, 5310's, etc.) Also send supplies, such as paper, hole punch, Acco fasteners, etc.)	The week prior to the pre-exam week.	
Pre-exam week required work	<ol style="list-style-type: none"> 1. Check files to verify that all requested items are available. 2. Verify space availability and/or assign rooms. 3. Review CPA work papers at their office. 4. Review Board and ALCO minutes since previous examination. 5. Make copies of time study, organization chart, financial statements, etc., for the team participants. 6. Call board and supervisory committee members as a courtesy letting them know you are on-site and invite questions and discussion. 7. Determine if the corporate has a power point projector. If not, send the CFS a message requesting OCCU's be sent to the JC location. 	Pre-exam week	
Examination	Work with each examiner daily. As the EIC you will be answering questions, attending meetings, and reading examination related material on a flow basis. Establish good communications with participants to keep abreast of current findings, problems, and progress. Maintain ongoing communication with the SSA, EIC, and SSA participants (if applicable).	On-site examination	

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Exit briefing	Hold the exit briefing with corporate officials and management at the conclusion of the examination fieldwork. It is up to the discretion of the EIC what will be discussed during the exit meeting (e.g., DORs, OEFs). The EIC must verify that all officials have been invited to attend the exit briefing.	At the conclusion of the examination field work. Additional briefings may be necessary if staffing is staggered.	
Final day of examination	Make sure all necessary information from the participants (e.g., database, DORs, OEFs, time sheet) is received prior to staff release. Obtain a listing of any additional reports that should be requested at the next examination.	Last day of on-site examination work.	
Report writing	Write the Executive Summary, merge the DORs, and OEFs, finalize CRIS ratings, and write the Supplementary Facts. Work with the SSA examiner, if applicable, on the report preparation.	Wrap up week	
Draft report to CFS	Send draft report to CFS.	Friday of wrap up week	
Begin Power point, Confidential Section, and One-Year Plan	Begin working on Confidential Section, Power Point Presentation, and One-Year Plan.	Wrap up week.	
CFS will return report and set up briefing with OCCU Director, if necessary	CFS will make comments/corrections on the report and send back for updating. CFS will set up teleconference with Director and direct you to E-Mail the report to OCCU Mail and Director.	Week after wrap up week.	
Briefing	Brief the Director and finalize the report with the SSA, if applicable.	Minimum of 7 days prior to the JC.	
Report to the corporate	Send the final report (less CRIS rating) by E-mail or fax to the corporate requesting dissemination to the officials.	7 days prior to the JC.	
Report printing	Print and bind the final report. Bound copies should be kept to a minimum. The EIC must use discretion and each corporate may be different. The number of copies should be for: all corporate officials, Supervisory Committee members, official copy for the corporate, SSA (if applicable), OCCU, CFS, and Region. Be sure to sign, both OCCU and SSA, copies distributed to corporate officials. Copies for board members, committee members, and NCUA offices need not include color copies.	Prior to JC after OCCU briefing	
JC information memo	Send information memo to Director (through CFS) if they are attending the JC.	Prior to JC	
Joint Conference	Hold the joint conference beyond 21 days of the wrap up week unless approved by the CFS.	As previously determined.	
Transmittal letter, Region memo, SSA letter, One-Year Plan	Send via E-Mail to the CFS for processing the following: 1) Transmittal letter to the corporate; 2) Region Memo; 3) SSA Memo; and 4) One-Year Plan.	1 - 3 days after JC (30 days for the One-Year Plan)	
Corp110	Complete and upload Corp 110.	1 - 3 days after JC	
Final report	Send final report and workpapers (2 copies - OCCU and CFS). All core workpapers, any self-designed workpapers, examiner observations, etc. Include 2 bound reports to OCCU for processing with the SSA letter and Region Memo.	1 - 3 days after JC	
Electronic report	E-Mail zipped copy of the examination data base to _OCCU Mail.	1 - 3 business days after JC.	
Logs/forms	Update all other logs/forms required by OCCU (e.g., CUSO Logs, Privacy Checklist), if applicable.	1 - 3 business days after JC.	