



## Post-Exam Survey Questions

Credit Union Question	NCUA EIC Question		
<b>Pre-Exam Questions</b>			
1. Requests for pre-exam data and information, such as the items needed list, avoided duplicate requests. Please provide supporting comments if there were duplicate requests.	1. Requests for pre-exam data and information, such as the items needed list, avoided duplicate requests. Please provide supporting comments if there were duplicate requests.	Yes No Open text box for comments	Revised Pilot question
2. Requests for data and information during the exam avoided duplicate requests, including information previously requested during pre-exam planning. Please provide supporting comments if there were duplicate requests.	2. Requests for data and information during the exam avoided duplicate requests, including information previously requested during pre-exam planning. Please provide supporting comments if there were duplicate requests.	Yes No Open text box for comments	New
3. The credit union received sufficient notification prior to the start of the examination. Please include any comments about the notification time and/or suggestions for improvement.  a. Please provide the number of days prior notification was received.	3. I considered the credit union's unique circumstances and provided sufficient notification to the credit union prior to the start of the examination. Please provide comments to support your response.	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments  0 – 10 11 – 20 21 – 30 >30	Revised Pilot question   New – recommended by vendor



# NCUA

National Credit Union Administration

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<p>4. The credit union received the items needed list with sufficient time to accommodate the requested data and information prior to the start of the examination. Please included any comments about the timing of the receipt of the items needed list.</p> <p>a. Please provide the number of days prior to the start of the examination the items needed list was received.</p>	<p>4. The credit union provided requested documents timely to facilitate completion of the examination. Please provide comments to support your response.</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments</p> <p>0 – 10 days 11 – 20 days 21 – 30 days &gt;30 days</p>	
<b>Exam Procedures</b>			
<p>5. Examiners reviewed the annual audit, internal audit function, and/or the Supervisory Committee activities and indicated the extent to which they relied on these in arriving at any examination conclusions. Please provide any comments to support your response.</p>	<p>5. The exam team placed appropriate reliance on the annual audit, internal audit function, and/or Supervisory Committee activities. Please provide any comments to support your response.</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments</p>	New
<p>6. Examiners consulted credit union management when analyzing and addressing concerns. Please provide any comments to support your response.</p>	<p>6. I consulted credit union management when analyzing and addressing concerns. Please provide any comments to support your response.</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable Open text box for comments</p>	New
<p>7. The monthly and/or quarterly monitoring</p>	<p>7. The monthly and/or quarterly</p>	<p>Strongly agree</p>	New



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<p>materials provided throughout the year by credit union management (e.g., Call Report, etc.), along with the information provided as part of the items needed list, facilitated the examiner’s awareness of the credit union’s operations and financial condition. Please provide any comments to support your response.</p>	<p>monitoring materials provided throughout the year by credit union management (e.g., Call Report, etc.), along with the information provided as part of the items needed list, facilitated awareness of credit union operations and financial condition. Please provide any comments to support your response.</p>	<p>Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable Open text box for comments</p>	
<p>8. The exam review areas included those posing the highest risk to your institution. Please provide any comments to support your response.</p>	<p>8. The exam review areas included those posing the highest risk to the credit union. Please provide any comments to support your response.</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments</p>	<p>Pilot question</p>
<p><b>Exam-Related Communication with Management and Officials</b></p>			
<p>9. The exam team provided and discussed any draft Examiner’s Findings, Documents of Resolution, and other concerns with credit union management (CEO or designated credit union staff) prior to presenting them to the board of directors. Please provide any comments to support your response.</p>	<p>9. The exam team provided and discussed any draft Examiner’s Findings, Documents of Resolution, and other concerns with credit union management (CEO or designated credit union staff) prior to presenting to the board of directors. Please provide any comments to support your response.</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not Applicable Open text box for comments</p>	<p>Pilot question</p>
<p>10. The examiner offered to hold a Joint Conference – that is, a meeting with the credit union’s board of directors – to</p>	<p>10. I offered to hold a Joint Conference to discuss conclusions from the examination. Please provide any</p>	<p>Yes No Open text box for</p>	<p>Pilot question</p>



# NCUA

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discuss conclusions from the examination. Please provide any comments to support your response.	comments to support your response.	comments	
11. Examiners kept management (CEO or designated credit union staff) updated throughout the exam. Please provide any comments to support your response.	11. I kept management (CEO or designated credit union staff) updated throughout the exam. Please provide any comments to support your response.	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments	Similar to pilot question
12. Examiners consulted with management or designated staff concerning time frames for providing information and scheduling meetings. Please provide any comments to support your response.	12. I consulted with credit union management or designated staff concerning time frames for providing information and scheduling meetings. Please provide any comments to support your response.	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Open text box for comments	Similar to pilot question with changes
13. Examiners were responsive to credit union inquiries and questions. Please provide any comments to support your response.	13. The credit union was responsive to my inquiries and questions. Please provide any comments to support your response.	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable Open text box for comments	New
14. The examiners acted professionally, communicated in a respectful manner, and made no attempt to intimidate credit union	14. All credit union personnel acted professionally, communicated in a respectful manner, and made no	Strongly agree Agree Somewhat agree	New



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<p>personnel. Please note, factually identifying the potential legal or regulatory consequences of something the credit union is, or is not, doing, is not considered intimidation. Please provide any comments to support your response.</p>	<p>attempt to intimidate examiners. Please provide any comments to support your response.</p>	<p>Somewhat disagree Disagree Strongly disagree Not applicable Open text box for comments</p>	
<b>Exam Report</b>			
<p>15. The written exam report documented and explained the examiner’s final conclusions and determinations. This includes CAMELS Ratings, Risk Ratings, corrective action plans, and any other concerns or conclusions. Please provide any comments to support your response.</p> <p>a. If no, please identify the area or areas not well documented or explained in the report.</p>	<p>15. The written exam report effectively communicated and supported final conclusions and recommendations. Please provide any comments to support your response.</p>	<p>Yes No (If no, subsequent question populates)</p> <p>(multi-select) CAMELS Ratings Risk Ratings Examiner Findings Documents of Resolution Supplementary Facts Other concerns or conclusions</p>	<p>Pilot question</p> <p>New – suggested by vendor</p>
<p>16. Any corrective actions required were appropriate for the size and complexity of the credit union when possible (that is, when there was discretion to do so under applicable law or regulation). Please provide any comments to support your response.</p>	<p>16. Whenever possible (that is, when there was discretion to do so under applicable law or regulation), I tailored any corrective action plans provided to the size and complexity of the credit union. Please provide any comments to support your</p>	<p>Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable</p>	<p>New</p>



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	response.	Open text box for comments	
17. Examiners provided the opportunity for management to provide corrective action plans and considered those plans in the final examination report. Please provide any comments to support your response.	17. I provided credit union management the opportunity to provide corrective action plans and considered those plans in the final examination report. Please provide any comments to support your response.	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable	New
18. The final exam report was delivered at, or prior to, the exit meeting with the CEO or designated credit union staff; or at, or prior to, the joint conference with the credit union's Board of Directors (if one was held); or if changes resulted from either of these meetings, was delivered within ten business days thereafter. Please provide any comments to support your response.	18. The final exam report was delivered at, or prior to, the exit meeting with the CEO or designated credit union staff, or at, or prior to, the joint conference with the credit union's Board of Directors (if one was held), or if changes resulted from either of these meetings, was delivered within 10 business days thereafter. Please provide any comments to support your response.	Yes No Open text box for comments	Pilot question
19. If examination conclusions changed (Documents of Resolution, Examiner Findings, CAMELS Ratings, Risk Ratings, etc.) after drafts were provided to management, were the changes communicated to management?	19. If examination conclusions changed (Documents of Resolution, Examiner Findings, CAMELS Ratings, Risk Ratings, etc.) after drafts were provided to management, were the changes communicated to management?	Yes No Not applicable Open text box for comments	New



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<b>General</b>			
<p>20. To keep up with changes in the credit union industry, what areas should be included in the examination process that are (a) not currently reviewed, or (b) only reviewed occasionally?</p> <p><i>This question is optional</i></p>	<p>20. To keep up with changes in the credit union industry, what areas should be included in the examination process that are (a) not currently reviewed, or (b) only reviewed occasionally?</p> <p><i>This question is optional</i></p>	Open text box for comments	New
<p>21. What logistical or administrative changes would you like to see implemented for NCUA examinations?</p> <p><i>This question is optional</i></p>	<p>21. What logistical or administrative changes would you like to see implemented for NCUA examinations?</p> <p><i>This question is optional</i></p>	Open text box for comments	New
<p>22. Please provide other comments about the exam or suggestions to improve the examination process.</p> <p><i>This question is optional</i></p>	<p>22. Please provide other comments about the exam or suggestions to improve the examination process.</p> <p><i>This question is optional</i></p>	Open text box for comments	New
<p>23. The distribution of onsite and offsite (virtual/remote) examination work was reasonable. Please provide any comments to support your response.</p>	<p>23. The distribution of onsite and offsite (virtual/remote) examination work was reasonable. Please provide any comments to support your response.</p>	Strongly agree Agree Somewhat agree Somewhat disagree Disagree Strongly disagree Not applicable Open text box for comments	New from comments



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	a. Please identify the percentage of examination work completed offsite.	0% 1% - 15% 16% - 30% 31% - 45% 46% - 60% >60%	Secondary question for EIC only

**Questions from Post-Exam Pilot Removed/Eliminated:**

**There were no comments received regarding the removed/eliminated post-exam pilot questions.**

	Question	Reasoning
1	The Examiner consulted with management concerning time frames for providing requested pre-exam data and information.	Replaced with similar question about schedules and timeframes
2	The credit union was made aware of its appeal rights.	This information is in the NCUA cover letter.
3	The Exam Notification and Items Requested Letter included the names of the field supervisor (Supervisory Examiner or Director of Special Actions) and Examiner-in-Charge assigned to your credit union.	This information is in the NCUA cover letter.
4	A reference to the applicable law, NCUA Rules and Regulations, Generally Accepted Accounting Principles, or other binding standard or requirement was provided for all Document of Resolution items included in the final examination report.	Not all credit unions receive a DOR. Additionally, this likely will be identified during the PSR process.
5	The examiner held an exit meeting with the CEO or designated credit union staff to discuss conclusions from the examination.	Similar to another question related to discussing exam results before meeting with the Board of Directors