

Corporate Name:	Example	
Charter/Ins #:	12345	
	CMS Questions:	YES/NO
1	An OCCU or OCMP Capital Markets Specialist was NOT onsite for the current examination (or a supervision contact since the last examination.)	
2	There HAS been a key staffing change in senior management and/or investment, investment credit, or risk management staffing since the last examination.	
3	There HAS been a significant change in the structure, composition, complexity, and/or risk profile of the investment portfolio.	
4	The corporate HAS complex investment products.	
5	The corporate HAS Part I, Part II, Part III, or Part IV Expanded Authority.	
6	There ARE proposed changes in strategies forecasting future events that may have a material impact on balance sheet structure, composition, and risk profile.	
7	NEV and/or NEV volatility trends are NOT within regulatory or internal guidelines over the examination period.	
8	NEV and/or NEV volatility trends over the examination period ARE erratic.	
9	The Asset-Liability Risk Quantification Model is NOT in "maintenance" mode.	
10	Internal controls to ensure accuracy and reasonableness of risk assessment and quantification are NOT adequate.	
11	Risk Measurement Systems and Processes were NOT validated by a qualified third party over the past 3 years.	
12	Third Party risk measurement systems and Processes validation identified WEAKNESSES which remain UNRESOLVED .	
13	ALCO's knowledge, experience, oversight and/or reporting is NOT adequate.	
14	Liquidity controls, stress measurements, and/or external funding sources are NOT adequate.	
15	Investment Gains and/or Losses DO represent a material amount of Net Income.	
EIC NOTES:		

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	PSS Questions:	YES/NO
1	There HAS been a change in key management in any payment systems area (funds transfer, ACH, item processing)?	
2	There HAS been a significant change in operations?	
2a	Have any products, services, or systems been added, replaced, upgraded, or eliminated?	
2b	Has there been a significant expansion or contraction of member users?	
2c	Has there been a significant increase or decrease in processing volume?	
3	There HAS been an example of unacceptable management performance?	
3a	Are there unresolved internal or external audit findings?	
3b	Are there unresolved examination issues?	
3c	Are there Federal Reserve Bank account overdrafts resulting from cash management and/or procedural deficiencies?	
3d	Are there significant suspense items by aging, dollar amount, or number?	
3e	Have there been any reported regulatory violations?	
4	DO funds transfer or ACH activities include use of a proprietary payment system? Examples include PayPLUS, Fundtech Banker, Politzer & Haney, Goldleaf, etc. If you are unsure, consult your PSS.	
5	DOES ACH origination activity include non-financial institution members?	
6	There ARE unresolved business continuity issues?	
7	There HAVE been circumstances which prevented a PSS from being onsite during the last two examination cycles?	
EIC NOTES:		
PSS COMMENTS:		

Corporate Name:	Example	
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	ISS Questions:	YES/NO
1	There HAS been a change in upper management, CEO or Chief Information Officer equivalent, since the last exam.	
2	Their written information security program, including their enterprise wide written risk assessment process, information protection strategy, and security policy has NOT been reviewed by an IT examiner.	
3	They HAVE an in-house core system.	
4	They DO in-house software development for any of their products.	
5	They HAVE (host) their own transactional web site.	
6	An IT examiner was NOT onsite the last examination (or a supervision contact since the last examination.)	
7	There HAS been a change in the core processing system.	
8	New technology services for members HAVE been added since the last exam.	
EIC NOTES:		