

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

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	<b>PSS Questions:</b>	<b>YES/NO</b>
1	There <b>HAS</b> been a change in key management in any payment systems area (funds transfer, ACH, item processing)?	
2	There <b>HAS</b> 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 <b>HAS</b> 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	<b>DO</b> 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	<b>DOES</b> ACH origination activity include non-financial institution members?	
6	There <b>ARE</b> unresolved business continuity issues?	
7	There <b>HAVE</b> been circumstances which prevented a PSS from being onsite during the last two examination cycles?	
EIC NOTES:		
PSS COMMENTS:		

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	<b>ISS Questions:</b>	<b>YES/NO</b>
1	There <b>HAS</b> 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 <b>NOT</b> been reviewed by an IT examiner.	
3	They <b>HAVE</b> an in-house core system.	
4	They <b>DO</b> in-house software development for any of their products.	
5	They <b>HAVE</b> (host) their own transactional web site.	
6	An IT examiner was <b>NOT</b> onsite the last examination (or a supervision contact since the last examination.)	
7	There <b>HAS</b> been a change in the core processing system.	
8	New technology services for members <b>HAVE</b> been added since the last exam.	
EIC NOTES:		