

**APPENDIX 102C**  
**Template for the One-Year Supervision Plan**  
**NATIONAL CREDIT UNION ADMINISTRATION**  
**Office of Corporate Credit Unions**

OCCU/  
CU #

**TO:** Director  
Office of Corporate Credit Unions

**FROM:** Corporate Examiner  
Corporate Field Supervisor

**SUBJ:** One-Year Supervision Plan (OYSP): Corporate Name, Charter/Insurance Number

**DATE:**

**BACKGROUND**

*Discuss examination, financial information, areas of concern, etc.*

**CRIS RATINGS**

<b>Financial Risk</b>	<b>Rating</b>	<b>Trend*</b>	<b>Risk Management</b>	<b>Rating</b>	<b>Trend*</b>
Empirical Capital			Capital Accumulation Planning		
Earnings			Profit Planning & Control		
Interest Rate Risk			Interest Rate Risk Management		
Liquidity Risk			Liquidity Risk Management		
Credit Risk			Credit Risk Management		
			Operations Risk		
			Board Oversight, Audit and Compliance		
<b>Financial Risk Composite</b>			<b>Risk Management Composite</b>		

\*Use + for positive trend, – for negative trend, and = for stable.

**CHANGES IN OPERATIONS**

*Discuss any planned changes in management, systems, operations, etc. which affect future supervision plans and/or the focus of the next annual examination.*

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### Template for the One-Year Supervision Plan

*Discuss the factors affecting financial risk, the quality of risk management, the aggregate risk, and risk direction. Any material negative change in risk direction must be discussed.*

#### **SUPERVISION TYPE**

*Discuss supervision type and parameters as outlined in Chapter 102 of the Examiner's Guide.*

#### **SUPERVISION PLANS**

Monthly/Ongoing	OnSite
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.

*Discuss any foreseeable changes that could alter the supervision plans. It is not necessary to repeat the discussion of any issues previously covered in the operational changes section on page one.*

#### **ANNUAL EXAMINATION**

*Discuss the next year's annual examination, e.g., staffing, budget hours, additional expertise requested. Please note in the table below whether OCMP, CMS, ISS, or PSS participation is requested. Involvement of specialists must consider the risk profile, and directly relate to the resources necessary to accomplish the supervision and examination objective.*

*Ensure adequate documentation of any area that did receive a comprehensive review and explain when one is expected. Discuss whether base or expanded procedures were used on any focused area and what is anticipated for the next annual examination. The EIC needs to ensure a comprehensive review (at least standard procedures) of each area is completed every 3 years or more frequently, if necessary.*

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**NEXT YEAR’S RESOURCES REQUESTED TABLE**

<b>RESOURCES</b>	<b># HOURS REQUESTED BY EIC</b>
CMS	
PSS	
ISS	
OCMP	
CEs	
Other	
Totals	

**SPECIALIST PARTICIPATION**

CMS Requested: *Please note specialist comments.*

PSS Requested: *Please note specialist comments.*

ISS Requested: *Please note specialist comments.*

Attached is a spreadsheet which will help the EIC to communicate to the specialist the need for participation. Note: There are three tabs inside the workbook one for each specialized area.

*If the specialist is not onsite, the EIC will forward the attached specialist spreadsheet, CEM, questionnaire, and procedures for the respective area within three days after the joint conference. The spreadsheet was designed to assist the EIC with determining the need for specialist participation when the requisite specialist(s) is not on-site during the examination. When completed the spreadsheets must be submitted with the OYSP. If a specialist is onsite at the examination the EIC will discuss the future participation prior to the end of the examination. Specialists will document their recommendations in the conclusion section of their respective CEM(s). Also note: The timeframes listed above may conflict with other OCCU instructions for the submission of CEMs to specialists. These instructions do not supersede other OCCU instructions.*

*If the EIC is unsure which specialist to submit the information to they will contact the respective CFS for determination based on current work loads. The specialist will respond back to the EIC within 10 days of the joint conference. The EIC will submit the proposed plan to the CFS within 20 days of the joint conference. The final OYSP will be submitted to the Director within 30 days of the joint conference.*

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**COMMENTS**

*Discuss competitive pressures, key issues going forward, future earnings, operational weaknesses, etc.*

**CUSOs**

*If applicable, address whether you recommend a separate CUSO review and provide support for your recommendation.*

**CONCURRENCE**

Yes

No

**CONCURRENCE**

Yes

No

\_\_\_\_\_  
Corporate Field  
Supervisor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Kent Buckham  
Director

\_\_\_\_\_  
Date