OMB Number: 3064-0218

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INSTRUCTIONS: Please respond to the following questions regarding your recent Risk Management examination from the FDIC. Completing the questions will help us evaluate and identify ways to improve the quality and efficiency of our examination process. Your responses will be kept confidential.

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 1. Pre-Examination Process | Strongly disagree | Somewhat disagree | Neither agree nor  disagree | Somewhat agree | Strongly agree |
| 1. The lead-time provided to gather information for the examination was sufficient. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The pre-examination requests were reasonable in scope. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. Examiners used materials requested in the pre-examination process during the examination. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The pre-examination request made the overall examination process more efficient. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| e. Recommendations to improve the pre-examination process or best practices employed by examiners as part of the examination: | | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 2. Examiners | Strongly disagree | Somewhat disagree | Neither  agree nor disagree | Somewhat agree | Strongly agree |
| 1. The examiners effectively described the examination's scope and objectives. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners were knowledgeable about your institution. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners demonstrated a thorough understanding of the applicable safety and soundness laws and regulations. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners were responsive to your questions and concerns. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners treated you professionally. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners communicated effectively with your management throughout the examination, clearly and concisely discussing areas of concern, preliminary findings, and recommendations. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examiners provided management an opportunity to consider the preliminary findings, and provide any additional information or clarifications that may mitigate identified areas of concern. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. Recommendations regarding the examiners or best practices observed during the examination: | | | | | |

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| --- | --- | --- | --- | --- | --- |
| 3. Virtual Process  (These question pertain to the portions of the examination completed offsite/remotely) | Strongly disagree | Somewhat disagree | Neither agree nor  disagree | Somewhat agree | Strongly agree |
| 1. The blend of on-site and off-site activities seemed reasonable. |  |  |  |  |  |
| 1. Were technical issues encountered during the examination? (Yes/No) |  |  |  |  |  |
| Technical issues were resolved in a timely manner and with minimal disruption. |  |  |  |  |  |
| 1. Virtual interactions and communications with examiners were effective |  |  |  |  |  |
| 1. Recommendations to improve the virtual process of the examination or best practices employed by examiners as part of the examination: | | | | | |

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| --- | --- | --- | --- | --- | --- |
| 4. Examination Process | Strongly disagree | Somewhat disagree | Neither agree nor  disagree | Somewhat agree | Strongly agree |
| 1. FDIC staff discussed all major findings of the examination with management prior to receipt of the Report of Examination. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. FDIC staff discussed preliminary findings for Specialty areas with management prior to or during the exit/concluding meeting. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. Were there material changes in the Report of Examination compared to preliminary findings and conclusions disclosed during the examination? (Yes/No) |  |  |  |  |  |
| Material changes in the Report of Examination were discussed with management prior to the receipt of the Report of Examination. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examination was completed in a reasonable timeframe. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| e. Recommendations to improve the examination process or best practices employed by examiners as part of the examination: | | | | | |

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| --- | --- | --- | --- | --- | --- |
| 5. Report of Examination (Report) | Strongly disagree | Somewhat disagree | Neither  agree nor disagree | Somewhat agree | Strongly agree |
| 1. The Report accurately reflected the examination findings and recommendations conveyed during the examination. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The Report was easy to understand. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The Report accurately portrayed your institution's practices and condition. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The transmittal letter and other written communication concerning the Report were clear and concise. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The Report contained useful recommendations and/or Matters Requiring Board Attention for improving your risk management practices. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. Recommendations to improve the Report of Examination or best practices employed by examiner as part of the examination: | | | | | |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| 6. Overall | Strongly disagree | Somewhat disagree | Neither agree nor  disagree | Somewhat agree | Strongly agree |
| 1. The examination findings will assist you in enhancing your risk management practices. | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. The examination was conducted in a fair and objective manner | ⬜ | ⬜ | ⬜ | ⬜ | ⬜ |
| 1. Other comments or recommendations: | | | | | |

7. Optional: Would you like the FDIC Office of the Ombudsman to confidentially contact you about your institution's recent examination or any other matter?

Yes No

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Complete the information below and your survey will be forwarded to the FDIC Office of the Ombudsman.

First Name:

Last Name: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Telephone Number:

The Office of the Ombudsman (1-877-ASK-FDIC (877-275-3342)) is available to confidentially discuss problems with, or concerns about, your examination. The Office of the Ombudsman's mission is: to be an effective, neutral, and confidential resource and liaison for the banking industry and the general public; to facilitate the resolution of problems and complaints in a fair, impartial and timely manner; to provide prompt, meaningful feedback; and to influence positive change at the FDIC.