

SURVEY OF OCC-SUPERVISED COMMUNITY BANKS

The Office of the Comptroller of the Currency (OCC) has a continuing commitment to assess its efforts to provide support and technical assistance to OCC-supervised national banks and federal savings associations (banks). The *Survey of OCC-Supervised Community Banks* collects non-generalizable information about customer satisfaction. It offers banks an opportunity to provide feedback on the effectiveness of the OCC's current efforts and share suggestions for enhancing its oversight and assistance. The OCC will use this information to assess the needs of community banks and to focus and enhance oversight, training, and outreach activities with respect to community banks.

BANK IDENTIFICATION

Name of bank _____
Charter number _____
Bank contact name _____
City and state _____
Email address _____
Phone number _____

TECHNICAL ASSISTANCE

The definition of technical assistance used in this survey is: assistance that a regulator may provide to a bank. For example, a regulator may advise a bank on compliance with a particular statute or regulation. Regulators may also provide technical assistance that is related to deficiencies identified in safety and soundness or compliance investigations. Please respond to the following questions applying the definition.

Has your bank requested technical assistance from the OCC in the past?

___ No
___ Yes

If yes, what technical assistance did you request? _____

Has your bank received technical assistance from the OCC in the past?

___ No
___ Yes

If yes, was the technical assistance beneficial?

___ No
___ Yes

Please explain _____

The OCC provided technical assistance commensurate with my bank's needs.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

The technical assistance provided by the OCC has had a positive impact on my bank's condition.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

How can the OCC provide better technical assistance to your bank?

BANKER TRAINING AND EDUCATION

The OCC provides training and education to banks in various formats; e.g., regional meetings for bank executive officers, quarterly newsletters, summaries of quarterly agency bulletins, national and state-level banking association conferences, and webinars. To help the OCC determine the effectiveness of its initiatives, please answer the following:

What additional information would you like to see from the OCC?

What are the most effective method(s) for delivering the information? (Please select all that apply)

- ☐ Webinars
- ☐ Instructor-led training or workshops
- ☐ Telephone conferences
- ☐ Podcasts
- ☐ Recordings on demand
- ☐ Other: _____

Throughout the year, the OCC sponsors director workshops focusing on general director education and specific topics. These workshops include a foundational series aimed at newer directors and a risk management series covering essential areas such as risk governance, compliance risk, credit risk, operational risk, capital markets risk, and asset management risk. Did you or your directors attend any workshops in the past calendar year?

- ☐ No
- ☐ Yes

If no, what were the primary barriers to your attending? (Please select all that apply)

- ☐ Scheduling conflict
- ☐ Inconvenient location
- ☐ Budget considerations
- ☐ Lack of need
- ☐ Other: _____

If yes, what workshop(s) did you attend?

- ☐ Building Blocks: Developing Strong Management
- ☐ Risk Governance: Improving Effectiveness
- ☐ Credit Risk: Recognizing and Responding to Risk
- ☐ Operational Risk: Navigating Rapid Changes
- ☐ Compliance Risk: Understanding the Rules
- ☐ Capital Markets: Keeping Current

Was/were the workshop(s) useful?

- ☐ No
- ☐ Yes

Please explain _____

OCC PERFORMANCE ASSESSMENT

OCC endeavors to provide high quality oversight to community banks. Responses to the following questions will help the agency make an assessment of whether it is accomplishing that goal.

Please indicate your level of agreement with the following statements.

Customer Base and Market

OCC examiners understand how my bank's market impacts its condition.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

In reaching their conclusions, OCC examiners have appropriately considered my bank's market.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree

☐ Not applicable/unable to rate

Business Strategy and Resources

OCC examiners understand how my bank's business strategy and resources impact its condition.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

In reaching their conclusions, OCC examiners have appropriately considered my bank's business strategy and resources.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

OCC Policies and Guidance

OCC policies and guidance appropriately address the issues unique to community banks.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

Examiners appropriately consider issues unique to community banks in applying OCC policies and guidance.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

Examiner Training and Guidance

OCC provides its examiners with appropriate training and guidance.

- ☐ Strongly agree
- ☐ Agree
- ☐ Neutral
- ☐ Disagree
- ☐ Strongly disagree
- ☐ Not applicable/unable to rate

ADDITIONAL COMMENTS

If you have any additional comments or suggestions regarding how the OCC can better serve and support the community banks it charters, please include them below.

Thank you for participating in this survey. Your feedback is important to our ongoing efforts to provide oversight and technical assistance to community banks.