

This transmittal log documents changes to the NSPM from version 5.1, issued April 18 2017, to version 5.2. Changes are organized by section/topic and:

- Amend existing procedures to improve the consistency and efficacy of the examination and supervision program
- Provide clarification for existing procedures
- Amend procedures as a result of regulatory amendments or other agency directives

This log does not reflect technical amendments and minor grammatical changes. For a complete history of NSPM documentation, visit the **NSPM SharePoint site**.

Useful Links

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Audits, Recordkeeping, and Fraud

Citation	Previous Content (v5.1)	New Content (v5.2)
Audits, Recordkeeping, and Fraud > Audit Report Review	[added new content to end of section]	Documenting the Audit Report Field staff will document their review of the audit report when conducting the next scheduled RATE review.
Audits, Recordkeeping, and Fraud > Unacceptable Audits and Member Account Verifications	Document the audit or Member Account Verifications deficiencies as a problem code using the DOR module (within “Compliance Risk” Risk Area of DOR module)	Document deficiencies in the audit or Member Account Verification as a problem code using the DOR module
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District Management

Citation	Previous Content (v5.1)	New Content (v5.2)
District Management > Joint Conferences and Exit Meetings	If a joint conference is not held, the examiner will hold an exit meeting. An exit meeting differs from a joint conference in that an exit meeting does not require a quorum of the board attend. Attendance at an exit meeting generally consists of top management, key staff, and possibly one or more officials. The examiner will provide adequate information to allow the recipients to make an informed decision regarding whether any of the officials would like to participate in the exit meeting or have a joint conference.	Examiners will conduct an exit meeting at the end of every examination and for any onsite supervision contact that results in a report or other correspondence. (See FCUs > FCU Supervision Contacts > Onsite Supervision Contacts (WCC 22) > Onsite Supervision Contact Documentation.) An exit meeting differs from a joint conference in that an exit meeting does not require a quorum of the board attend. Attendance at an exit meeting generally consists of top management, key staff members, and preferably one or more officials (board members or supervisory committee members). When no joint conference is scheduled, examiners should extend an invitation to the board and supervisory committee chairpersons to attend the meeting. Examiners should make every effort to confirm commitment from management and the officials present at the exit meeting to take corrective action, if necessary.
District Management > Call Report, Trending Analysis, and RATE > Field Staff Responsibilities	<ul style="list-style-type: none">•Download the 5300/FPR Trending System for each examiner’s assigned district from Share Point•Complete the 5300/FPR Trending Dashboard. This process should include an analysis of:<ul style="list-style-type: none">•FPR•Risk reports•5300 Call Report	<ul style="list-style-type: none">•Complete the RATE Dashboard. This process should include an analysis of:<ul style="list-style-type: none">•FPR•Risk reports•5300 Call Report
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Federal Credit Union Program and Procedures

Citation	Previous Content (v5.1)	New Content (v5.2)
FCUs > Examination Planning > Pre-Exam Planning Procedures	The AIRES Pre-Exam Planning Procedures Checklist outlines specific procedures.	The AIRES Pre-Exam Planning Questionnaire outlines specific procedures.
FCUs > Examination Planning > Pre-Exam Planning Hours	Examiners will document their pre-planning activities with the Pre-Exam Planning Procedures Checklist and upload it with the examination. Pre-exam hours must be recorded for each completed WCC 10 exam. Exceptions to the budgeted time must be approved in writing by a supervisor, in advance. The Pre-Exam Planning Procedures Checklist template is located in the AIRES Exam Directory under Available Template Files.	Examiners will document their pre-planning activities with the Pre-Exam Planning Questionnaire and upload it with the examination. Pre-exam hours must be recorded for each completed WCC 10 exam. Exceptions to the budgeted time must be approved in writing by a supervisor, in advance. The Pre-Exam Planning Questionnaire is available in the AIRES Scope module.
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Federally Insured, State Chartered Credit Union Program and Procedures

Citation	Previous Content (v5.1)	New Content (v5.2)
FISCUs > Examination Planning > Pre-Exam Planning Procedures	The AIRES Pre-Exam Planning Procedures Checklist outlines specific procedures.	The AIRES Pre-Exam Planning Questionnaire outlines specific procedures.
FISCUs > Examination Planning > Pre-Exam Planning Hours	Examiners will document their pre-planning activities with the Pre-Exam Planning Procedures Checklist and upload it with the examination. Pre-exam hours must be recorded for each completed WCC 11 exam. Exceptions to the budgeted time must be approved in writing by a supervisor, in advance. The Pre-Exam Planning Procedures Checklist template is located in the AIRES Exam Directory under Available Template Files.	Examiners will document their pre-planning activities with the Pre-Exam Planning Questionnaire and upload it with the examination. Pre-exam hours must be recorded for each completed WCC 11 exam. Exceptions to the budgeted time must be approved in writing by a supervisor, in advance. The Pre-Exam Planning Questionnaire is available in the AIRES Scope module.
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