CSBS SINCE 1902

CONFERENCE OF STATE BANK SUPERVISORS

End of Exam Functions in ETS

This job aid was created by the CSBS State Examiner Review Team to help state examiners understand the different functions of the Examination Tools Suite (ETS) that are related to closing out an examination.

Background

The Examination Tools Suite features a more automated process to upload examination findings. These findings are typically uploaded to FDIC systems of record near the end of an examination. While state examiners are prohibited from uploading examination data from ETS directly into the FDIC's ViSION system, other systems of record (such as the Interagency Exam Repository) are accessible to state examiners. This job aid explains the purposes and accessibility of these functions specifically for state examiners.

Conduct Exam—Upload
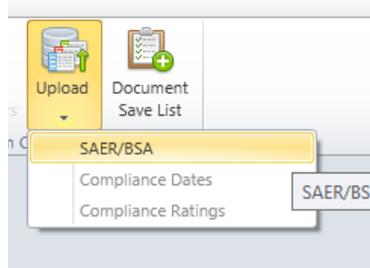
The *Upload* function from the *Conduct Exam* tab contains three functions:

- SAER/BSA
- Compliance Dates
- Compliance Ratings

The *SAER/BSA* option allows a FDIC user to upload data from the Summary Analysis of Examination Report (SAER) page and the BSA violation data to the ViSION system. The data can only be uploaded if the Summary Analysis of Examination Report page is completed and the BSA Violations tab is completed. The *Compliance Dates* and *Compliance Ratings* functions are for FDIC compliance exams.

Accessibility to state examiners

These three options are generally not available for state independent examinations. For joint examinations with the FDIC, a FDIC team member can use the *SAER/BSA* option to upload SAER and BSA data to the ViSION record for that examination.

Review—Upload
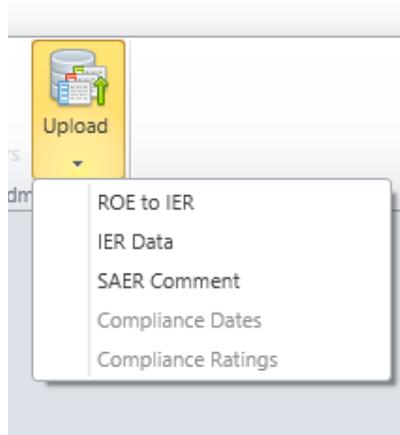
The *Upload* button from the *Review* tab contains five functions:

- ROE to IER
- IER Data
- SAER Comment
- Compliance Dates
- Compliance Ratings

In addition to the two Compliance-related options also available on the *Conduct Exam* tab, the *Upload* button on the *Review* tab has three more options: *SAER Comment, ROE to IER,* and *IER Data*. *SAER Comment* allows a FDIC user to upload a SAER comment from the SAER Comments work paper in ETS to the ViSION system and is typically used by the examination review staff at the end of the review process. The *ROE to IER* and *IER Data* options allow the upload of the final signed Report of Examination and the examination management data, respectively, to the Interagency Examination Repository (IER) and are typically used by the examination review staff at the end of the review process.

State Banking Departments remain responsible for uploading the signed Report of Examination (ROE) to the IER as well as IER data (management module information). If this second function is not completed, B pages will not be populated with updated data for the next regulatory examination.

IMPORTANT: A HARD COPY OF THE ROE AND TRANSMITTAL LETTER <u>MUST</u> STILL BE SENT TO THE RESPECTIVE FDIC REGIONAL OFFICE OR SECURELY EMAILED TO A PRE-ESTABLISHED FDIC SECURE MAILBOX.

Tab	Button	Used on State Exam	NOT Used on State Exam	Additional Information
Conduct Exam → Upload	SAER/BSA		X	State Examiners do not have security permissions to write directly to ViSION, so by clicking "upload" no transmission would occur. ***However, these pages must be completed and sent with the ROE to the respective FDIC Regional Office.***
Conduct Exam → Upload	Compliance Dates		X	Used by FDIC for compliance exams.
Conduct Exam → Upload	Compliance Ratings		X	Used by FDIC for compliance exams.
Review → Upload	ROE to IER	X		• A window will open allowing you to navigate to the location of the PDF image file of the signed ROE. Once the file has been selected, click "Open." • An "Upload Signed ROE" pop-up will appear. Click the "Upload" button. • Once the upload process is complete you will receive notification saying the signed report was successfully uploaded. Click the "OK" button. • TIP: There is a 20Mb file size limitation when uploading ROE to IER.
Review → Upload	IER Data	X		• When the "Upload IER Data" window appears, click the "Upload" button. • When you receive a notification that the upload process is complete, click the "OK" button. • REMINDER: If this function is not completed, B pages will not be populated with updated information from the current examination at the next regulatory examination.
Review → Upload	SAER Comment		X	Used by FDIC Case Managers.
Review → Upload	Compliance Dates		X	Used by FDIC for compliance exams.
Review → Upload	Compliance Ratings		X	Used by FDIC for compliance exams.