



Federal Deposit Insurance Corporation
550 17th Street, NW, Washington, D.C. 20429-9990

Financial Institution Letter
FIL-50-2019
September 19, 2019

Changes to the FDIC's Post-Examination Survey Process

Summary: The Federal Deposit Insurance Corporation (FDIC) is notifying FDIC-supervised financial institutions (banks) that the Office of the Ombudsman — which is independent of the supervisory process, reports directly to the FDIC Chairman's office, and is a confidential resource for banks — is now administering the Post-Examination Survey (Survey) process. This change further ensures confidentiality of Survey responses and is designed to promote additional candid feedback and to improve response rates. The change is also part of the FDIC's efforts to enhance transparency, efficiency, and accountability.

Statement of Applicability to Institutions with Total Assets Under \$1 Billion: This Financial Institution Letter applies to all FDIC-supervised institutions.

Distribution:

FDIC-Supervised Institutions

Suggested Routing:

Board of Directors
Chief Executive Officer
Chief Financial Officer
Chief Compliance Officer

Attachments:

[Safety and Soundness Post-Examination Survey](#)

[Compliance & CRA Post-Examination Survey](#)

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Note:

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Highlights:

- The Office of the Ombudsman will:
 - Assume responsibility for soliciting Survey responses effective October 1, 2019;
 - Send notice that the Survey will accompany the Report of Examination;
 - Provide a reminder to encourage participation in the Survey; and
 - Serve as the contact point for banks regarding the Survey and follow-up requests.
- The FDIC Office of the Ombudsman is independent of the supervisory process, reports directly to the FDIC Chairman's office, and is a confidential resource for banks.
- A copy of the current Survey questions for each exam type is attached for reference.
- The Survey previously had been administered by the Division of Risk Management Supervision and the Division of Depositor and Consumer Protection.

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Summary

The Federal Deposit Insurance Corporation (FDIC) is notifying FDIC-supervised financial institutions (banks) that the Office of the Ombudsman — which is independent of the supervisory process, reports directly to the FDIC Chairman's office, and is a confidential resource for banks — is now administering the Post-Examination Survey (Survey) process. This change further ensures confidentiality of Survey responses and is designed to promote additional candid feedback and to improve response rates. The change also is part of the FDIC's efforts to enhance transparency, efficiency, and accountability.

Background

The FDIC implemented the Surveys in 2002 as part of the agency's continuing effort to improve the quality and efficiency of the examination process. The Surveys had been conducted by the Division of Risk Management Supervision and the Division of Depositor and Consumer Protection until now.

The FDIC views the Survey feedback as an important source of information that can improve the quality and efficiency of examination procedures, maintain examiner standards of professionalism, and ensure that examinations remain a beneficial tool for achieving safety and soundness and regulatory compliance.

The FDIC has assigned responsibility for the Survey process to the Office of the Ombudsman. The mission of the Office of the Ombudsman is to be an independent, neutral, and confidential resource and liaison for the banking industry; 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.

New FDIC Post-Examination Survey Process

Under the new process the Office of the Ombudsman will:

- Assume responsibility for soliciting Survey responses effective October 1, 2019;
- Send notice that the Survey will accompany the Report of Examination;
- Provide a reminder to encourage participation in the Survey; and

- Serve as the contact point for banks regarding the Survey and follow-up requests.

The changes to the Survey process are to enhance confidentiality and encourage bankers to provide additional candor in responses to survey questions.

Attachments

[Safety and Soundness Post-Examination Survey](#)

[Compliance & CRA Post-Examination Survey](#)