Five-Year Accreditation Online System User Guide

Table of Contents

System Overview

The Accreditation Five-Year Online System (AOS) is a platform designed to serve the needs of the CSBS Accreditation Program, and the participating state agencies. The AOS environment facilitates an online accreditation process for agency users and a review and audit process for reviewers and CSBS internal staff. The initial release of this platform will include functions from Iteration 1 (this includes the management, scheduling, and review of the Self Examination Questionnaire (SEQ)) as well as functions from Iteration 2 (this includes the final portion of the processing of the SEQ, as well as numerous administrative actions and new reporting functionality).

User Privileges and Actions

System access will be facilitated at the highest level by a CSBS internal staff member, and at the agency level by the point of contact for a specific agency. Agencies can have as many users as needed to complete the SEQ. Review team members, audit team members, and facilitators will have access granted by the CSBS staff and will receive an email notification after they have been successfully entered into the system. Access to the AOS site is facilitated by single-sign-on through Okta for both CSBS and external users. After gaining access to the system, specifications and dashboards will be available based upon an individual user's role within the AOS system.

System Roles

CSBS Accreditation Staff

CSBS accreditation staff users are central to the system. A CSBS accreditation staff user ensures the accreditation process is completed smoothly. They are responsible for initiating the process by creating all other users (Agency, Review Team etc.), managing the user access, managing and assigning the SEQs to agencies, assigning the review team and audit team to review completed SEQs, scheduling accreditation review and accredit the agency based on recommendations of review teamand audit team. A CSBS accreditation staff user is also interested in reviewing the data created during accreditation process in the form of reports and dashboards. They can view high level roll-ups of agency scores as well as historical SEQ data. This user also has access to several administrative actions regarding system wide announcements and resource documents. Learn more about the actions available to this user here.

Agency Point-of-Contact

An agency POC user logs into the system to facilitate completion of the self-evaluation questionnaire (SEQ) once it is due. They are responsible for ensuring that the SEQ is completed well ahead of the review date. This user can create new users in their agency and manage those users' access. They can also assign SEQ sections to agency users for them to complete. Once the SEQ is completed, the agency POC reviews and

submits the SEQ. This user is primarily interested in the progress completion of the SEQ. The agency POC can do everything that an agency staff member can do, plus additional actions. Learn more about the actions available to this user [here](#).

Agency Staff

An agency staff user logs into the system to complete the sections of SEQ assigned to him by agency POC. This user is interested in the progress completion of their sections. They are able to save their work on any in-progrss sections, as well as rate and complete the sections once they are finished. This user may be working on more than one section at a time. Learn more about the actions available to this user [here](#).

Review Team Lead

A review team lead user logs into the system when an SEQ is assigned to them by the CSBS internal staff for review. They are responsible for getting the review completed and for providing ratings and comments as they see appropriate, based on the responses to the questions in each section and topic. This user can also assign the sections of an SEQ to their team for review. They are interested in the progress of the review completion. Once all the sections are reviewed the review team lead is responsible for final review, and for any recommendations, suggestions or accolades given to the agency. They are interested in the summary of scores for a given SEQ at any time. The review team lead can do everything that a review team member can do, plus additional actions. Learn more about the actions available to this user [here](#).

Review Team Member

A review team member user logs into the system to review the sections of the SEQ assigned to him. They are interested in the progress completion of their sections. This user is interested in the review comments of other users on the sections assigned to them. They are responsible for giving ratings and comments to each section being reviewed by them. Learn more about the actions available to this user [here](#).

Audit Team Member

An audit team member user logs into the system to assess the summary of the review completed by review team. They will have specific audit tasks assigned to them, based upon which SEQs they are participating in. Learn more about the actions available to this user [here](#).

Facilitator
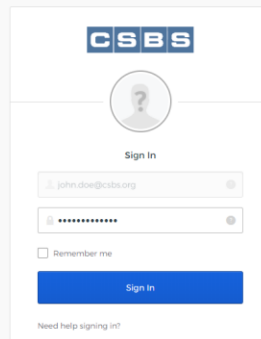
A facilitator user logs into the system to provide comments on SEQs that they are participating in. They can view all data and download all documents associated with a review. They can also provide recommendations, suggestions, and accolades to the agencies. This user has limited visibility privileges within the system, and they can view SEQ scores for the reviews that they are assigned to. Learn more about the actions available to this user [here](#).

AOS System Login

1. Navigate to https://csbs.appiancloud.com/
2. Select 'Okta'.
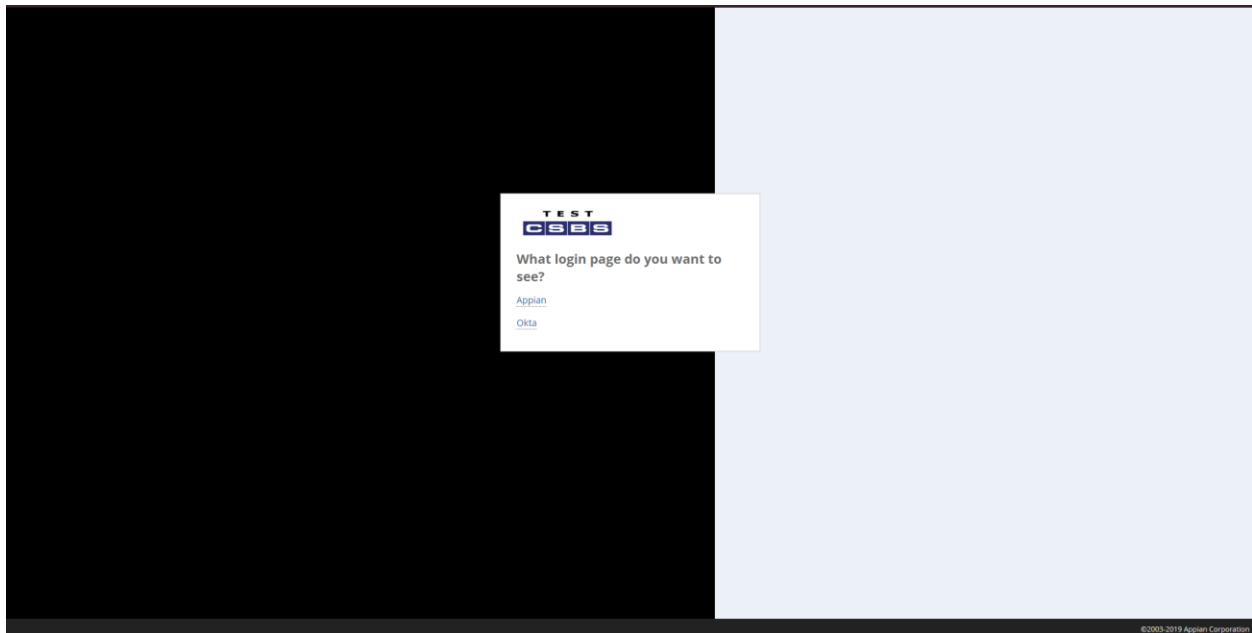
3. After you are re-directed to the Okta login page, enter your credentials and click 'Sign In'. If you have forgotten your password, click 'Need help signing in?' to reset. Proceed to step 6.

4. If you are not automatically re-directed to the AOS site, use your browser to navigate to https://csbs.appiancloud.com/suite/sites/accreditation-online-system

CSBS Accreditation Staff User

Home Page
The sections of the home page are described in more detail below.

Resources

For your convience, resources for both review team members and agency staff are linked on the dashboard for quick reference and access. To read about how to manage these resources, click here.

Announcements

All active announcements in the system are shown at the top of the home page. They are each designated as either targeted to the review team users, or targeted to the agency staff users. To read about how to manage these announcements, click here.

Announcements
- Welcome agency users! (Agency)
- Welcome to AOS! (Review Team)

Administrative Actions

All administrative actions available to the CSBS internal staff users are available on the home page

Actions

- Create or Update AOS Users
- Create or Update NASCUS Agency
- Manage Agency Accreditation Data
- Share Resource Documents
- Add Announcements

Manage AOS Users

1. Click the 'Create or Update AOS Users' action.

2. This action directs you to a view of all AOS users, with the ability to create new users or update/delete existing users.

Manage AOS Users

📇 AOS User List   [👤+ Create User]

🔍 Search by Last Name   [SEARCH]   + SHOW FILTERS

Select a user to manage from the table below, or create a new user to add to the AOS System.

User	User Type	Email	Agency		
Rachel Reviewer	Review Team Member	oismail@csbs.org		✏️	✖
Dan DelawarePOC	Agency PoC	sylvia.an+test123n@groundswellcg.com	Delaware Office of the State Bank Commissioner	✏️	✖
Chris CSBS	CSBS Internal Staff	oismail@csbs.org		✏️	✖
Aaron Audit	Auditor	patrick.rita+audittestuser@groundswellcg.com		✏️	✖
IVVOI Rab	Agency User	890@890.com	Alabama State Banking Dept	✏️	✖
Flora Facilitator	Facilitator	rleung@csbs.org		✏️	✖
Mandy Matthew	CSBS Internal Staff	miranda.matthew+test@groundswellcg.com		✏️	✖
Carol ColoradoPOC	Agency PoC	rleung@csbs.org	Colorado Division of Banking	✏️	✖
Antonio Agency	Agency User	patrick.rita+agencytestuser@groundswellcg.com	Florida Office of Financial Regulation	✏️	✖
Miranda Matthew	CSBS Internal Staff	miranda.j.matthew@gmail.com		✏️	✖

« ‹ **1 – 10** of 50 › »

[DONE]

3. To create a new user, select 'Create User' in the top right of the above screen. Then enter a valid email address for the new user, and select 'Continue'.

Manage AOS Users

👤 **Create New User**

E-mail *

---Please enter a valid E-mail address here---

| CANCEL | CONTINUE |

4. Fill in values for all applicable fields, and click 'Submit'

Manage AOS Users

👤 **Create New User**

E-mail	First Name	Last Name	Phone Number
jane.doe45@csbs.org	Jane	Doe	(123) 456-7890

✏️ **Accreditation User Information**

User Role *

CSBS Internal Staff ▼

User Bio

She works on the accreditation team

| CANCEL | BACK | | SUBMIT |

5. To search for a specific user, enter their first or last name into the search bar above the grid and then click 'Search'.

Manage AOS Users

📖 **AOS User List**   👤 **Create User**

🔍 Doe   SEARCH   + SHOW FILTERS

Select a user to manage from the table below, or create a new user to add to the AOS System.

User	User Type	Email	Agency		
Jane Doe	CSBS Internal Staff	jane.doe45@csbs.org		✏️	✖

DONE

6. To filter by role, click '+ Show Filters' and then after the filter section expands, select a value (or values) from the dropdown, and click 'Search'.

10

Manage AOS Users

AOS User List   **&+ Create User**

Search by Last Name   **SEARCH**   **- HIDE FILTERS**

Filters

User Type

Auditors   ▾

                                                                    ⟳ RESET **SEARCH**

Select a user to manage from the table below, or create a new user to add to the AOS System.

User	User Type	Email	Agency		
Ashley Auditor	Auditor	rleung@csbs.org		✎	✖
Agnus Auditor	Auditor	sylvia.an+agnusauditor@groundswellcg.com		✎	✖
Aaron Auditor	Auditor	fahmed@csbs.org		✎	✖
Ashe Auditor	Auditor	sylvia.an@groundswellcg.com		✎	✖
Aaron Audit	Auditor	patrick.rita+audittestuser@groundswellcg.com		✎	✖
Allen Auditor	Auditor	oismail@csbs.org		✎	✖
Livia Mays	Auditor	noah.flaxman+liviamays@groundswellcg.com		✎	✖
Amanda Auditor	Auditor	sroberts@csbs.org		✎	✖
New Test	Review Team Member, Facilitator, Auditor	newtestuser@test.com		✎	✖

9 items

DONE

7. To update an existing user, click the pencil icon in the corresponding row.

Manage AOS Users

AOS User List   **&+ Create User**

Doe   **SEARCH**   **+ SHOW FILTERS**

Select a user to manage from the table below, or create a new user to add to the AOS System.

User	User Type	Email	Agency		
Jane Doe	CSBS Internal Staff	jane.doe45@csbs.org		✎	✖

DONE

8. Make any necessary updates to the chosen user and then click 'Submit'.

Manage AOS Users

⊖ Modify User

E-mail	First Name	Last Name	Phone Number
jane.doe45@csbs.org	Jane	Doe	(123) 456-7890

✎ Accreditation User Information

User Role *

CSBS Internal Staff, Review Team   ▾

User Bio

She works on the accreditation team and is also a reviewer

CANCEL   **SUBMIT**

9. To deactivate an existing user, click the red X icon in the corresponding row, and then click 'Submit' on the confirmation page that appears.

Deactivate User

This action will deactivate the selected user. Are you sure you would like to proceed?

CANCEL   SUBMIT

Manage NASCUS Agencies

1. Click the 'Create or Update NASCUS Agency' action.

ACCREDITATION ONLINE SYSTEM (AOS)

Announcements
- Announcement 2 (Agency)
- Announcement 1 (Review Team)
- Welcome agency users! (Agency)
- Welcome to AOS! (Review Team)

Actions

👥 Create or Update AOS Users	
🏛 Create or Update NASCUS Agency	
⚙ Manage Agency Accreditation Data	
🗁 Share Resource Documents	
🔊 Add Announcements	

Agency Resources

- **User Guides**
  - SEQ Instructions
  - Accreditation Handbook for State Agencies - Final 10.2.19
- **Templates**
  - SEQ - Bank_Mortgage_Credit Union_v 1 4 - offline 092319
- **Instructions**

Open Review Records

Organization Name	Accreditation Type	Status	Onsite Review Date ↑		
District of Columbia Department of Insurance Securities and Banking	Bk	Sent to Agency	9/4/2019	✏	
Maine Bureau of Financial Institutions	Mtg, CU	Sent to Agency	9/26/2019	✏	
Alaska Division of Banking and Securities	Bk, Mtg, CU	Pending Agency Submission	9/28/2019	✏	
Florida Office of Financial Regulation	Bk, Mtg	Finalize Review	9/30/2019	✏	
New Jersey Department of Banking and Insurance	Bk, Mtg	Scheduling	10/2/2019	✏	✉
Vermont Department of Financial Regulation	Mtg	Audit Complete	10/25/2019	✏	
Arizona Department of Financial Institutions	CU	Scheduling	10/25/2019	✏	✉
Virginia Bureau of Financial Institutions	CU	Pending Agency Submission	10/31/2019	✏	
Virginia Bureau of Financial Institutions	MSB	Pending Agency Submission	10/31/2019	✏	
Connecticut Department of Banking	Bk	Scheduling	11/1/2019	✏	✉
Arizona Department of Financial Institutions	Bk, Mtg	Sent to Agency	11/1/2019	✏	
Massachusetts Division of Banks	Mtg, CU	Sent to Agency	11/6/2019	✏	
North Carolina Office of Commissioner of Banks	Bk, Mtg, CU, MSB	Pending Agency Submission	11/28/2019	✏	

2. This action directs you to a view of all NASCUS-only agencies, with the ability to create new ones or update/delete existing ones.

Manage NASCUS Agencies

📇 **List of NASCUS-Only Agencies**   👤 Create NASCUS Agency

Select an Agency to manage from the table below, or create a new user to add to the AOS system.

Name	State	Point of Contact	Phone Number	Website	Modify	Delete
Alabama Credit Union Administration	AL	Alabama POC	(123) 123-1234	https://asdf.com	✏	✖
Colorado Division of Financial Services	CO	Colorado POS	(123) 333-1234	https://test.com	✏	✖

DONE

3. To create a new one, select 'Create NASCUS Agency' in the top right of the above screen. Then fill in values for all applicable fields, and click 'Submit'

Agency Information

Agency Name

Indiana Credit Union

Address

123 Main St

Website ⓘ

http://indianacreditunion.com

City

Springdale

State

IN

Zip Code

35262

Point of Contact

Mary Smith

Phone Number

(123) 456-7890

CANCEL   SUBMIT

4. To update an existing agency, click the pencil icon in the corresponding row.

Manage NASCUS Agencies

📘 **List of NASCUS-Only Agencies**   ➕ Create NASCUS Agency

Select an Agency to manage from the table below, or create a new user to add to the AOS system.

Name	State	Point of Contact	Phone Number	Website	Modify	Delete
Alabama Credit Union Administration	AL	Alabama POC	(123) 123-1234	https://asdf.com	✏	✖
Colorado Division of Financial Services	CO	Colorado POS	(123) 333-1234	https://test.com	✏	✖
Indiana Credit Union	IN	Mary Smith	(123) 456-7890	http://indianacreditunion.com	✏	✖

DONE

5. Make any necessary updates to the chosen agency and then click 'Submit'.

Manage NASCUS Agency

👤 **Modify Agency**

Agency Name

Indiana Credit Union Bank

Address

120 Main St

Website ⓘ

http://indianacreditunion.com

City

Springdale

State

IN

Zip Code

35262

Point of Contact

Mary Green

Phone Number

(123) 456-7890

CANCEL   SUBMIT

6. To deactivate an existing NASCUS agency, click the red X icon in the corresponding row, and then click 'Submit' on the confirmation page that appears.

Delete Agency

This action will delete the selected Agency. Are you sure you would like to proceed?

CANCEL   SUBMIT

Manage Agency Accreditation Data

1. Click the 'Manage Agency Accreditation Data' action.

2. This action directs you to a view of all current accreditation data for the agencies and their corresponding accreditation types, with the ability to create entries or update/delete existing ones.

Manage Accreditation Data

Accreditation Summary   **+ Create Accreditation Entry**

Agency	Accreditation Type	Accreditation Status	Accreditation Date	On-Site Date	Report		
Alabama State Banking Dept	Credit	Accredited	10/5/2019	1/2/2020	📄	✏	✖
Delaware Office of the State Bank Commissioner	Bank	Accredited	10/3/2019	7/27/2019	📄	✏	✖
Delaware Office of the State Bank Commissioner	Mortgage	Accredited	10/3/2019	7/27/2019	📄	✏	✖
North Dakota Department of Financial Institutions	Bank	Accredited	10/3/2019	12/19/2019	📄	✏	✖
North Dakota Department of Financial Institutions	Mortgage	Accredited	10/3/2019	12/19/2019	📄	✏	✖
Wisconsin Department of Financial Institutions	Credit	Unaccredited - Agency Withdrawal	10/1/2019	10/10/2019		✏	✖
Texas Department of Banking	Bank	Accredited	9/27/2019	9/30/2020	📄	✏	✖
Texas Department of Banking	Credit	Accredited	9/24/2019	1/1/2009		✏	✖
Texas Department of Banking	Bank	Accredited	9/24/2019	9/26/2019		✏	✖
Texas Department of Banking	Mortgage	Accredited - Probation	9/20/2019	9/30/1990	📄	✏	✖
Missouri Division of Finance	Bank	Accredited	8/27/2019	7/28/2019		✏	✖
Delaware Office of the State Bank Commissioner	Credit	Accredited	8/26/2019	9/9/2019	📄	✏	✖
Delaware Office of the State Bank Commissioner	MSB	Accredited	8/26/2019	9/9/2019	📄	✏	✖
Alabama State Banking Dept	Mortgage	Accredited	5/23/2018	1/23/2018		✏	✖
American Samoa Department of Legal Affairs	Bank	Accredited	9/2/2017	9/2/2017		✏	✖
Alabama State Banking Dept	Bank	Accredited	4/26/2017	4/26/2017		✏	✖
Colorado Division of Banking	Mortgage	Accredited	4/26/2017	4/26/2017		✏	✖
Colorado Division of Banking	Bank	Accredited	4/26/2017	4/26/2017		✏	✖
North Carolina Office of Commissioner of Banks	Bank	Accredited	9/3/2015	9/2/2015		✏	✖
Texas Department of Banking	Mortgage	Accredited	2/26/2015	2/26/2015		✏	✖

≪ ⟨ **1 – 20** of 62 ⟩ ≫

3. To create a new user, select 'Create Accreditation Entry' in the top right of the above screen. Then fill in values for all applicable fields, and click 'Submit'.

Update Accreditation

🔆 Accreditation Details

Agency *

West Virginia Division of Banking ✖

Type *	**Status** *	**Accreditation Date** *	**On-Site Date** *
Mortgage ▾	Accredited ▾	10/04/2019	10/01/2019

CANCEL　　　　　　　　　　　　　　　　　　　　　　　　　　　　SUBMIT

4. To search for a specific entry, enter part of the agency's name into the search bar above the grid and then click 'Search'.

Manage Accreditation Data

📅 Accreditation Summary　　　　　　　　　　　　　　　　　　✚ Create Accreditation Entry

🔍 | West Virginia | 　SEARCH

Agency	Accreditation Type	Accreditation Status	Accreditation Date	On-Site Date	Report		
West Virginia Division of Banking	Mortgage	Accredited	10/4/2019	10/1/2019		✏	✖

5. To update an existing entry, click the pencil icon in the corresponding row.

Manage Accreditation Data

📅 Accreditation Summary　　　　　　　　　　　　　　　　　　✚ Create Accreditation Entry

🔍 | West Virginia | 　SEARCH

Agency	Accreditation Type	Accreditation Status	Accreditation Date	On-Site Date	Report		
West Virginia Division of Banking	Mortgage	Accredited	10/4/2019	10/1/2019		✏	✖

6. Make any necessary updates to the chosen entry and then click 'Submit'.

Update Accreditation

🔆 Accreditation Details

Agency *

West Virginia Division of Banking ✖

Type *	**Status** *	**Accreditation Date** *	**On-Site Date** *
Mortgage ▾	Accredited - Probation ▾	10/03/2019	10/01/2019

CANCEL　　　　　　　　　　　　　　　　　　　　　　　　　　　　SUBMIT

7. To delete an existing entry, click the red X icon in the corresponding row.

Manage Accreditation Data

📅 **Accreditation Summary**   **+ Create Accreditation Entry**

🔍 Search by Agency Name   SEARCH

Agency	Accreditation Type	Accreditation Status	Accreditation Date	On-Site Date	Report		
Alabama State Banking Dept	Credit	Accredited	10/5/2019	1/2/2020	📄	✏	✖
Delaware Office of the State Bank Commissioner	Bank	Accredited	10/3/2019	7/27/2019	📄	✏	✖
Delaware Office of the State Bank Commissioner	Mortgage	Accredited	10/3/2019	7/27/2019	📄	✏	✖
North Dakota Department of Financial Institutions	Bank	Accredited	10/3/2019	12/19/2019	📄	✏	✖
North Dakota Department of Financial Institutions	Mortgage	Accredited	10/3/2019	12/19/2019	📄	✏	✖
Wisconsin Department of Financial Institutions	Credit	Unaccredited - Agency Withdrawal	10/1/2019	10/10/2019		✏	✖
Texas Department of Banking	Bank	Accredited	9/27/2019	9/30/2020	📄	✏	✖
Texas Department of Banking	Credit	Accredited	9/24/2019	1/1/2009		✏	✖
Texas Department of Banking	Bank	Accredited	9/24/2019	9/26/2019		✏	✖
Texas Department of Banking	Mortgage	Accredited - Probation	9/20/2019	9/30/1990	📄	✏	✖
Missouri Division of Finance	Bank	Accredited	8/27/2019	7/28/2019		✏	✖
Delaware Office of the State Bank Commissioner	Credit	Accredited	8/26/2019	9/9/2019	📄	✏	✖
Delaware Office of the State Bank Commissioner	MSB	Accredited	8/26/2019	9/9/2019	📄	✏	✖
Alabama State Banking Dept	Mortgage	Accredited	5/23/2018	1/23/2018		✏	✖
American Samoa Department of Legal Affairs	Bank	Accredited	9/2/2017	9/2/2017		✏	✖
Alabama State Banking Dept	Bank	Accredited	4/26/2017	4/26/2017		✏	✖
Colorado Division of Banking	Mortgage	Accredited	4/26/2017	4/26/2017		✏	✖
Colorado Division of Banking	Bank	Accredited	4/26/2017	4/26/2017		✏	✖
North Carolina Office of Commissioner of Banks	Bank	Accredited	9/3/2015	9/2/2015		✏	✖
Texas Department of Banking	Mortgage	Accredited	2/26/2015	2/26/2015		✏	✖

« ‹ **1 – 20** of 62 › »

Share Resource Documents

1. Click the 'Share Resource Documents' action.

2. This action directs you to a view of all current resource documents for both the review team and the agency users, with the ability to manage the resource categories or manage the resources themselves.

Manage Resources

📁 **Review Team Resources**   ✎ Update Categories

File	Category	Description	Uploaded By	Uploaded On	Actions
SEQ Template	Templates	Example template	Claude CSBS	9/12/2019 11:41 AM	✎ Edit 🗑 Delete
Team Review Guide	User Guides	Team guide	Claude CSBS	10/03/2019 11:49 AM	✎ Edit 🗑 Delete
Team Review Guide	Demo	Example demo resource	Claude CSBS	10/03/2019 1:05 PM	✎ Edit 🗑 Delete
➕ Upload New Resource					

📁 **Agency Resources**

File	Category	Description	Uploaded By	Uploaded On	Actions
SEQ Introduction Text	Instructions	SEQ Instructions	Claude CSBS	9/24/2019 6:53 AM	✎ Edit 🗑 Delete
SEQ - Bank Mortgage Credit Union v 1 4 - offline 092319	Templates	Blank SEQ with contingencies	Claude CSBS	9/24/2019 9:53 AM	✎ Edit 🗑 Delete
SEQ Instructions	User Guides	Example user guide	Claude CSBS	10/03/2019 11:47 AM	✎ Edit 🗑 Delete
➕ Upload New Resource					

DONE

3. To manage the resource categories, select 'Update Categories' in the top right of the above screen. This directs you to a view of all current resource categories.

Add New Categories

Category	Actions
User Guides (2 Documents)	✎ Edit
Templates (2 Documents)	✎ Edit
Schedules	✎ Edit 🗑 Delete
Instructions (2 Documents)	✎ Edit
Example Category	✎ Edit 🗑 Delete
Demo (1 Documents)	✎ Edit
➕ Add New Category	

CLOSE

4. To add a new category, click 'Add New Category' under the grid. Then fill in values for all applicable fields, and click 'Add Category'.

Add New Categories

Category
User Guides (2 Documents)
Templates (2 Documents)
Schedules
Instructions (2 Documents)
Example Category
Demo (1 Documents)

📄 **Add Category**

Add Category *

Checklists

BACK   ADD CATEGORY

CLOSE

5. To update an existing category, click 'Edit' in the corresponding row.

Add New Categories

Category	Actions
User Guides (2 Documents)	✏ Edit
Templates (2 Documents)	✏ Edit
Schedules	✏ Edit 🗑 Delete
Instructions (2 Documents)	✏ Edit
Example Category	✏ Edit 🗑 Delete
Demo (1 Documents)	✏ Edit
Checklists	✏ Edit 🗑 Delete
➕ Add New Category	

CLOSE

6. Make any necessary updates to the chosen category and then click 'Edit Category'.

Add New Categories

Category
User Guides (2 Documents)
Templates (2 Documents)
Schedules
Instructions (2 Documents)
Example Category
Demo (1 Documents)
Checklists

📄 **Edit Category**

Current Category Name   Checklists

New Category Name

Checklist Item

BACK   EDIT CATEGORY

CLOSE

7. To delete an existing category, click 'Delete' in the corresponding row and then click 'Yes' on the confirmation popup.

Add New Categories

Category	Actions
User Guides (2 Documents)	✎ Edit
Templates (2 Documents)	✎ Edit
Schedules	✎ Edit 🗑 Delete
Instructions (2 Documents)	✎ Edit
Example Category	✎ Edit 🗑 Delete
Demo (1 Documents)	✎ Edit
Checklist Item	✎ Edit 🗑 Delete
⊕ Add New Category	

This will delete the category completely. Continue?

NO   YES
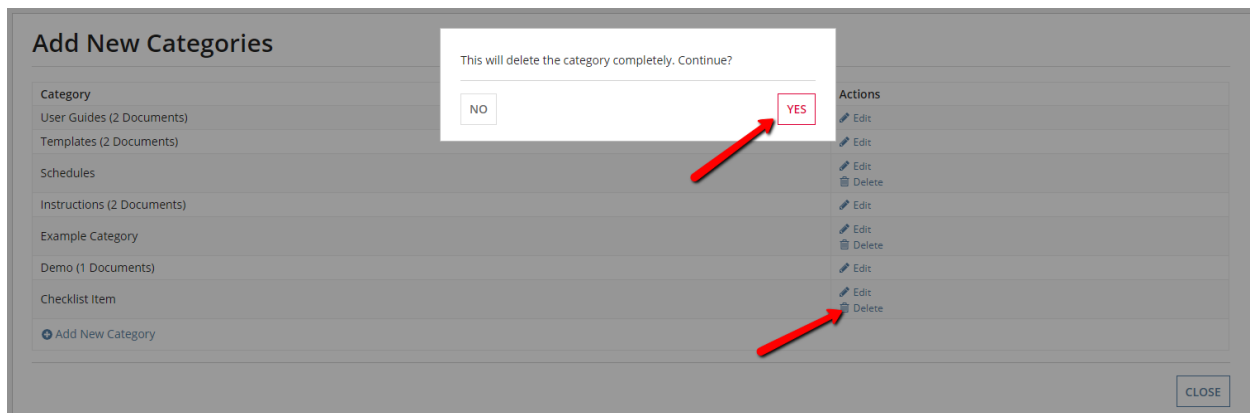
CLOSE

8. To navigate back to the management of resource documents, click 'Close'.

Add New Categories

Category	Actions
User Guides (2 Documents)	✎ Edit
Templates (2 Documents)	✎ Edit
Schedules	✎ Edit 🗑 Delete
Instructions (2 Documents)	✎ Edit
Example Category	✎ Edit 🗑 Delete
Demo (1 Documents)	✎ Edit
⊕ Add New Category	

CLOSE

9. To add a new resource document, click 'Upload New Resource' under the correct grid. One grid allows you to manage the review team resources and the other grid allows you to manage the agency resources. Then fill in values for all applicable fields, and click 'Add Resource.

Manage Resources

📁 Review Team Resources

☑ Update Categories

File	Category	Description	Uploaded By	Uploaded On
SEQ Template	Templates	Example template	Claude CSBS	9/12/2019 11:41 AM
Team Review Guide	User Guides	Team guide	Claude CSBS	10/03/2019 11:49 AM
Team Review Guide	Demo	Example demo resource	Claude CSBS	10/03/2019 1:05 PM

📁 Agency Resources

File	Category	Description	Uploaded By	Uploaded On
SEQ Introduction Text	Instructions	SEQ Instructions	Claude CSBS	9/24/2019 6:53 AM
SEQ - Bank Mortgage Credit Union v 1 4 - offline 092319	Templates	Blank SEQ with contingencies	Claude CSBS	9/24/2019 9:53 AM
SEQ Instructions	User Guides	Example user guide	Claude CSBS	10/03/2019 11:47 AM

📄 Add Document

Upload Resource *

📄 **IMG_20151128_230753**
JPG – 529.5 KB

Category *

Templates ▾

Description

This is a template for the final report

Character count: 39/1000

BACK   **ADD RESOURCE**

10. To update an existing resource, click on 'Edit' in the corresponding row.

Manage Resources

📁 Review Team Resources

☑ Update Categories

File	Category	Description	Uploaded By	Uploaded On	Actions
SEQ Template	Templates	Example template	Claude CSBS	9/12/2019 11:41 AM	✎ Edit 🗑 Delete
Team Review Guide	User Guides	Team guide	Claude CSBS	10/03/2019 11:49 AM	✎ Edit 🗑 Delete
Team Review Guide	Demo	Example demo resource	Claude CSBS	10/03/2019 1:05 PM	✎ Edit 🗑 Delete
IMG_20151128_230753	Templates	This is a template for the final report	Cathy CSBS	10/05/2019 1:12 PM	✎ Edit 🗑 Delete

➕ Upload New Resource

📁 Agency Resources

File	Category	Description	Uploaded By	Uploaded On	Actions
SEQ Introduction Text	Instructions	SEQ Instructions	Claude CSBS	9/24/2019 6:53 AM	✎ Edit 🗑 Delete
SEQ - Bank Mortgage Credit Union v 1 4 - offline 092319	Templates	Blank SEQ with contingencies	Claude CSBS	9/24/2019 9:53 AM	✎ Edit 🗑 Delete
SEQ Instructions	User Guides	Example user guide	Claude CSBS	10/03/2019 11:47 AM	✎ Edit 🗑 Delete

➕ Upload New Resource

DONE

11. Make any necessary updates to the chosen resource and then click 'Update Resource'.

Manage Resources

Review Team Resources

File	Category	Description	Uploaded By	Uploaded On
SEQ Template	Templates	Example template	Claude CSBS	9/12/2019 11:41 AM
Team Review Guide	User Guides	Team guide	Claude CSBS	10/03/2019 11:49 AM
Team Review Guide	Demo	Example demo resource	Claude CSBS	10/03/2019 1:05 PM
IMG_20151128_230753	Templates	This is a template for the final report	Cathy CSBS	10/05/2019 1:12 PM

Agency Resources

File	Category	Description	Uploaded By	Uploaded On
SEQ Introduction Text	Instructions	SEQ Instructions	Claude CSBS	9/24/2019 6:53 AM
SEQ - Bank Mortgage Credit Union v 1 4 - offline 092319	Templates	Blank SEQ with contingencies	Claude CSBS	9/24/2019 9:53 AM
SEQ Instructions	User Guides	Example user guide	Claude CSBS	10/03/2019 11:47 AM

📄 Edit Document

Current Document IMG_20151128_230753

Upload New Version

📄 **DSC_0002**
JPG – 6.47 MB

Description

This is a template for the final report (for mortgage only)

Character count: 59/1000

BACK

UPDATE RESOURCE

DONE

12. To delete an existing resource, click 'Delete' in the corresponding row and then click 'Yes' on the confirmation popup.

Add Announcements

1. Click the 'Add Announcements' action.

2. This action directs you to a view of all current system announcements for both the review team and the agency users, with the ability to manage the announcements.

3. To add a new announcement, click 'Add New Announcement' under the correct grid. One grid allows you to manage the review team announcements and the other grid allows you to manage the agency announcements. Then fill in values for all applicable fields, and click 'Add Announcement'.

Manage Announcements

📂 **Review Team Announcements**

Announcement	Uploaded By	Uploaded On
Welcome to AOS!	Claude CSBS	10/03/2019 1:07 PM

📂 **Agency Announcements**

Announcement	Uploaded By	Uploaded On
Welcome agency users!	Claude CSBS	10/03/2019 1:07 PM

📄 **Add Announcement**

Announcement

Please complete all of your assignements.

Character count: 41/1000

BACK   **ADD ANNOUNCEMENT**

DONE

4. To update an existing announcement, click on 'Edit' in the corresponding row.

Manage Announcements

📂 **Review Team Announcements**

Announcement	Uploaded By	Uploaded On	Actions
Please complete all of your assignements.	Cathy CSBS	10/05/2019 1:34 PM	✏ Edit 🗑 Delete
Welcome to AOS!	Claude CSBS	10/03/2019 1:07 PM	✏ Edit 🗑 Delete
➕ Add New Announcement			

📂 **Agency Announcements**

Announcement	Uploaded By	Uploaded On	Actions
Welcome agency users!	Claude CSBS	10/03/2019 1:07 PM	✏ Edit 🗑 Delete
➕ Add New Announcement			

DONE

5. Make any necessary updates to the chosen announcement and then click 'Update Announcement.

Manage Announcements

⌕ **Review Team Announcements**

Announcement	Uploaded By	Uploaded On
Please complete all of your assignments.	Cathy CSBS	10/05/2019 1:34 PM
Welcome to AOS!	Claude CSBS	10/03/2019 1:07 PM

⌕ **Agency Announcements**

Announcement	Uploaded By	Uploaded On
Welcome agency users!	Claude CSBS	10/03/2019 1:07 PM

📄 **Edit Announcement**

Current Announcement — Please complete all of your assignments by Friday.

Announcment

Please complete all of your assignments by Friday.

Character count: 50/1000

[BACK]   [UPDATE ANNOUNCEMENT]

[DONE]

6. To delete an existing announcement, click 'Delete' in the corresponding row and then click 'Yes' on the confirmation popup.

Manage Announcements

⌕ **Review Team Announcements**

This will delete the announcement completely from the record. Continue?

[NO]   [YES]

Announcement	Uploaded By	Uploaded On	Actions
Please complete all of your assignments by Friday.	Cathy CSBS	10/05/2019 1:34 PM	✎ Edit 🗑 Delete
Welcome to AOS!	Claude CSBS	10/03/2019 1:07 PM	✎ Edit 🗑 Delete

➕ Add New Announcement

⌕ **Agency Announcements**

Announcement	Uploaded By	Uploaded On	Actions
Welcome agency users!	Claude CSBS	10/03/2019 1:07 PM	✎ Edit 🗑 Delete

➕ Add New Announcement

[DONE]

Scheduling Page

This page allows users to view all of the details about 5-year accreditation reviews for the agencies present in the system. They are sorted by due date with the earliest date at the top of the listing. This tab also allows users to schedule reviews for each agency.

Search and Filter

1. To search for a specific scheduled accreditation review, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

2. To filter by due date year or accreditation date, click '+ Show Filters' and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

Initiate Scheduled Review

1. To schedule a review and begin the 5-year accreditation process, click the calendar icon in the row corresponding to the agency that is being scheduled for review.

2. Fill in values for all applicable fields in the Review Details section, and click 'Submit'.

3. The record will be updated and the new accreditation type(s) will be added to the grid

Update Scheduled Review

1. To update a scheduled review, click the pencil icon in the corresponding row.

2. Update values for all applicable fields in the Review Details section, and click 'Submit'.

3. The record will be updated and the changes will be reflected in the grid.

Update Review Team

1. To update the team for a scheduled review, click the pencil icon in the corresponding row.

2. Add all users who will be in the team for this specific 5-year accreditation review and then click '+ Add Users to Team'.

Manage Review Record

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

Review & Agency Details

| Agency Name | Arizona Department of Financial Institutions | | Agency POC | |

Review Details   Delete Review

Accreditation Type *
☑ Bank   ☑ Mortgage   ☐ Credit Union   ☐ MSB

Onsite Review Date *
11/01/2019

Confirmed?
⦿ Yes   ○ No

Last Full Year ❓ *
2018

Days on Site

Team Assignments

Add Users

Rita Reviewer ✖   Rob Reviewer ✖
Amanda Auditor ✖   Fiona Facilitator ✖

+ ADD USERS TO TEAM

Selected User(s) Workload
Rita Reviewer - 4 Assignments *(Review Team Member)*
Rob Reviewer - 1 Assignments *(Review Team Member)*
Amanda Auditor - 1 Assignments *(Review Auditor)*
Fiona Facilitator - *No Current Assignments*

CANCEL   ADD ADDITIONAL REVIEW   SUBMIT

3. Designate the role for each team member and if they are a reviewer indicate whether or not they are the review team lead, then click 'Submit'.

Note: Team members can only be assigned team roles that correspond with the roles that they have been designated within the AOS system. Learn how to change those roles here.

Manage Review Record

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

Review & Agency Details

| Agency Name | Arizona Department of Financial Institutions | | Agency POC | |

Review Details   Delete Review

Accreditation Type *
☑ Bank   ☑ Mortgage   ☐ Credit Union   ☐ MSB

Onsite Review Date *
11/01/2019

Confirmed?
⦿ Yes   ○ No

Last Full Year ❓ *
2018

Days on Site

Team Assignments

User	Review Role	Lead	
Rob Reviewer	Review Team Member ▼	☑	✖
Rita Reviewer	Review Team Member ▼	☐	✖
Fiona Facilitator	Facilitator ▼		✖
Amanda Auditor	Auditor ▼		✖

➕ Add Additional Assignments

CANCEL   ADD ADDITIONAL REVIEW   SUBMIT

Add Additional Scheduled Review

1. To add a scheduled review to an agency that already has an upcoming scheduled review, click the pencil icon in the corresponding row.

2. Click 'Add Additional Review' and then click 'Yes' on the confirmation popup.

3. Fill in values for all applicable fields in the Review Details and Team Assignments sections, then click 'Submit'.

Note: Since there is another open concurrent review that has been scheduled for the same agency, any accreditation types already selected will be disabled for this additional review.

Note: Team members can only be assigned team roles that correspond with the roles that they have been designated within the AOS system. Learn how to change those roles here.

4. The record will be updated and the new accreditation type(s) will be added to the grid

Delete Review

1. To delete a scheduled review, click the pencil icon in the corresponding row.

2. Click 'Delete Review' and then click 'Yes' on the confirmation popup.

Open Review Records

The main informative and transactional section of the home page is the grid of all open review records. This listing references each 5-year accreditation SEQ that has been scheduled but not yet completed. There are various actions that are available for each record, based upon its status. Clicking on the organization name will direct you to the record for that specific accreditation review, from which there are many actions available and scores/ratings can be viewed.

Open Review Records					
Organization Name	**Accreditation Type**	**Status**	**Onsite Review Date** ↑		
Alabama State Banking Dept	Mtg	Report Submitted	9/4/2019 📅	✏	
District of Columbia Department of Insurance Securities and Banking	Bk	Sent to Agency	9/4/2019	✏	
Alabama State Banking Dept	MSB	Report Submitted	9/12/2019 📅	✏	
Maine Bureau of Financial Institutions	Mtg, CU	Scheduling	9/26/2019	✏	✉
Alaska Division of Banking and Securities	Bk, Mtg, CU	Pending Agency Submission	9/28/2019 📅	✏	
Florida Office of Financial Regulation	Bk, Mtg	Pending Agency Submission	9/30/2019 📅	✏	
New Jersey Department of Banking and Insurance	Bk, Mtg	Scheduling	10/2/2019	✏	✉
Alabama State Banking Dept	Bk	Report Submitted	10/31/2019 📅	✏	
North Carolina Office of Commissioner of Banks	Bk, Mtg, CU, MSB	Pending Agency Submission	11/28/2019 📅	✏	
Texas Department of Banking	MSB	Submitted by Agency	12/25/2019 📅	✏	
Colorado Division of Banking	Bk, Mtg	Audit Complete	12/25/2019 📅	✏	
Colorado Division of Banking	CU	Sent to Agency	12/25/2019	✏	
Colorado Division of Banking	MSB	Under Review	1/1/2020 📅	✏	
North Dakota Department of Financial Institutions	MSB	Pending Agency Submission	4/10/2020	✏	
Minnesota Department of Commerce	Bk, Mtg, CU, MSB	Pending Agency Submission	9/30/2024 📅	✏	
				15 items	

Send SEQ to Agency

1. To send a scheduled SEQ to an agency (which will initiate the process of the agency users fulling out the SEQ) click the envelope icon in the corresponding row of any review which is in the 'Scheduling' status.

Open Review Records					
Organization Name	**Accreditation Type**	**Status**	**Onsite Review Date** ↑		
Alabama State Banking Dept	Mtg	Report Submitted	9/4/2019 🗓	✏	
District of Columbia Department of Insurance Securities and Banking	Bk	Sent to Agency	9/4/2019	✏	
Alabama State Banking Dept	MSB	Report Submitted	9/12/2019 🗓	✏	
Maine Bureau of Financial Institutions	Mtg, CU	Sent to Agency	9/26/2019	✏	
Alaska Division of Banking and Securities	Bk, Mtg, CU	Pending Agency Submission	9/28/2019 🗓	✏	
Florida Office of Financial Regulation	Bk, Mtg	Pending Agency Submission	9/30/2019 🗓	✏	
New Jersey Department of Banking and Insurance	Bk, Mtg	Scheduling	10/2/2019	✏	✉
Arizona Department of Financial Institutions	CU	Scheduling	10/25/2019	✏	✉
Alabama State Banking Dept	Bk	Report Submitted	10/31/2019 🗓	✏	
Connecticut Department of Banking	Bk	Scheduling	11/1/2019	✏	✉
Arizona Department of Financial Institutions	Bk, Mtg	Scheduling	11/1/2019 🗓	✏	✉
North Carolina Office of Commissioner of Banks	Bk, Mtg, CU, MSB	Pending Agency Submission	11/28/2019 🗓		
Texas Department of Banking	MSB	Submitted by Agency	12/25/2019 🗓	✏	
Colorado Division of Banking	Bk, Mtg	Audit Complete	12/25/2019 🗓	✏	
Colorado Division of Banking	CU	Sent to Agency	12/25/2019	✏	
Colorado Division of Banking	MSB	Under Review	1/1/2020 🗓	✏	
North Dakota Department of Financial Institutions	MSB	Pending Agency Submission	4/10/2020	✏	
Minnesota Department of Commerce	Bk, Mtg, CU, MSB	Pending Agency Submission	9/30/2024 🗓	✏	
				18 items	

2. Click 'Submit' on the primary confirmation page.

Send SEQ

This action will generate the SEQ and send it to the agency for completion. Are you sure you would like to proceed?

CANCEL   SUBMIT

3. Click 'Close' on the secondary confirmation page

Send SEQ Confirmation

✔ **The SEQ has been successfully sent to the Agency!**
The agency POC will receive an e-mail confirmation momentarily, and the SEQ has been created for completion

CLOSE

Five-Year SEQ Review Record

1. To navigate to a 5-year SEQ Review Record for an agency, click the blue 'Organization Name' link in the corresponding row. From this page you can perform all of the actions required to move an accreditation review through the process, as well as view all responses, comments, ratings, and scores for that particular review.

Open Review Records					
Organization Name	**Accreditation Type**	**Status**	**Onsite Review Date** ↑		
Alabama State Banking Dept	Mtg	Report Submitted	9/4/2019 📅	✏️	
District of Columbia Department of Insurance Securities and Banking	Bk	Sent to Agency	9/4/2019	✏️	
Alabama State Banking Dept	MSB	Report Submitted	9/12/2019 📅	✏️	
Maine Bureau of Financial Institutions	Mtg, CU	Sent to Agency	9/26/2019	✏️	
Alaska Division of Banking and Securities	Bk, Mtg, CU	Pending Agency Submission	9/28/2019 📅	✏️	
Florida Office of Financial Regulation	Bk, Mtg	Pending Agency Submission	9/30/2019 📅	✏️	
New Jersey Department of Banking and Insurance	Bk, Mtg	Scheduling	10/2/2019	✏️	✉️
Arizona Department of Financial Institutions	CU	Scheduling	10/25/2019	✏️	✉️
Alabama State Banking Dept	Bk	Report Submitted	10/31/2019 📅	✏️	
Connecticut Department of Banking	Bk	Scheduling	11/1/2019	✏️	✉️
Arizona Department of Financial Institutions	Bk, Mtg	Sent to Agency	11/1/2019 📅	✏️	
North Carolina Office of Commissioner of Banks	Bk, Mtg, CU, MSB	Pending Agency Submission	11/28/2019 📅	✏️	
Texas Department of Banking	MSB	Submitted by Agency	12/25/2019 📅	✏️	
Colorado Division of Banking	Bk, Mtg	Audit Complete	12/25/2019 📅	✏️	
Colorado Division of Banking	CU	Sent to Agency	12/25/2019	✏️	
Colorado Division of Banking	MSB	Under Review	1/1/2020 📅	✏️	
North Dakota Department of Financial Institutions	MSB	Pending Agency Submission	4/10/2020	✏️	
Minnesota Department of Commerce	Bk, Mtg, CU, MSB	Pending Agency Submission	9/30/2024 📅	✏️	
				18 items	

Update Review Record
1. By clicking the blue pencil icon the user can update a scheduled review, update the review team assignments, add an additional review, or delete the review.

Individual Review Record

This view of one specific 5-year accreditation review allows users to view and print the SEQ responses that the agency users have entered. This record also contains the agency ratings and review team scores, as well as any associated documents for the SEQ. Finally, the actions associated with advancing the process of the SEQ toward completion are found here.

View and Print SEQ Responses

1. To print the questions and responses for any given section of the SEQ, click the printer icon on the corresponding row. You can perform this action whether or not the agency has responded to any of the questions or completed any of the topics.

2. Once you are looking at the read-only version of the section, use the print feature on your browser to print out the entire contents of the page. If you want to view and/or print information from the agency's Profile online system, click '+ Show Profile Information'. This will open a section and display any relevant data, as well as a link to open the Profile page itself in another browser tab. Not all agencies will have Profile data to display in this section.

Kentucky Department of Financial Institutions

Summary | Agency Scoresheet | SEQ Documents | News | Related Actions

SEQ Overview / 1. Agency Administration and Finance

ⓘ **1A. Introduction**

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2.

+ SHOW PROFILE INFORMATION

✎ **1A. Questions**

1. The agency has a strategic plan.	2. The agency has a mission statement.	3. The strategic plan has been reviewed in the past 12 months.
		3.1. Date the strategic plan was updated:
4. The following are involved in developing the agency's strategic plan:	5. The final strategic plan is communicated to the agency's employees via:	6. Assignments are made for completion of strategic actions.
7. Timeframes are established for completion of the strategic actions.	8. The goals of the strategic plan have been met in the timeframes anticipated.	9. Please explain how progress on the strategic plan is monitored
10. A succession plan has been adopted.	11. If the commissioner were to become incapacitated, his/her duties would be assumed by:	12. The agency has an up-to-date organizational chart showing direct lines of responsibility.
13. The agency reports to a board, advisory council, or similar.	14. Current job descriptions correspond to the employee positions shown on the organizational chart.	15. Briefly describe the operational units of the agency (i.e. banking, mortgage, credit union, securities) and their primary responsibilities.

☑ **1A. Standards & Ratings**

Please provide any other comments related to the questions above.

View and Download SEQ Exhibits

1. To view and download all of the documents associated with an accreditation SEQ record, click 'Exhibits' once the review is in the Submitted by Agency status, or at any point after that status.

Kentucky Department of Financial Institutions

ASSIGN SECTIONS | SUBMIT REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | News | Related Actions

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

▤ **Sections & Topics Overview**

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖨
›	Section 2. Personnel and Training	Rita Reviewer	No Comments	🖨
›	Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖨
›	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖨
›	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖨
›	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖨
›	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖨
›	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖨

2. Any document added by the agency users or by the CSBS internal staff is available for download by clicking on the document name. The topics that each document is associated with are shown in the corresponding rows (for SEQ documents only).

File	Description	Associated Topics
Test File - Word	No description Added	3-A. Examination Frequency Policy/Ability to Meet Policy
Test File - PDF	No description Added	2-B. Job Descriptions
Test File - Word	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart
Test File - Word	No description Added	1-I. Technology Infrastructure and Cybersecurity
Test File - Excel	No description Added	1-J. Budget Revenue Source / Contingency Plan
Test File - Word	No description Added	1-E. Consumer Education / Financial Literacy
Test File - PDF	No description Added	1-K. Budget Expenses / Supplemental Budgets
Test File - Excel	No description Added	7-E. Use of Enforcement Authority
Test File - PDF	No description Added	1-D. Communication with Industry
Test File - Word	No description Added	1-F. Access to Legal Assistance 1-K. Budget Expenses / Supplemental Budgets 7-C. Authority to Examine Mortgage Servicers 6-C. Examination Policy on Risk Scoping 3-D. Examination Manuals 1-C. Communication with Other Regulatory Agencies

‹ **1 – 10** of 15 ›

Review Team Documents

File	Description
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq
	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada

Return SEQ to Agency

1. If a SEQ record has been submitted by the agency, but the review for the SEQ has not yet begun, a user may send it back to the agency if needed. Click 'Return SEQ to Agency'.

Kentucky Department of Financial Institutions

RETURN SEQ TO AGENCY | START REVIEW

Summary | Exhibits | News | Related Actions

Scheduling — Sent to Agency — Pending Agency Submission — **Submitted by Agency** — Under Review — Finalize Review — Report Submitted — Audit Complete — Closed

Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	No Assignments	No Comments	🖨
›	Section 2. Personnel and Training	No Assignments	No Comments	🖨
›	Section 8. Credit Union - Examination	No Assignments	No Comments	🖨
›	Section 9. Credit Union - Supervision Powers	No Assignments	No Comments	🖨
›	Section 10. Credit Union - Legislative Powers	No Assignments	No Comments	🖨

Note: This action can also be completed by selecting the Related Actions tab underneath the agency name header.

2. Enter the reason for the return and then click 'Submit'.

Kentucky Department of Financial Institutions

Summary   Exhibits   News   **Related Actions**

Return SEQ to Agency

This action will set the Review Record back to the "Pending Agency Submission" status, and the SEQ will be sent back to be modified by the Agency.

Reason for returning the SEQ *

Needs more details.

CANCEL   SUBMIT

3. Click 'Close' on the confirmation page.

Kentucky Department of Financial Institutions

Summary   Exhibits   News   **Related Actions**

Return SEQ Confirmation

✔ **The SEQ has been returned successfully!**
The Agency POC will receive an e-mail notification, and the SEQ has been returned to the Agency

CLOSE

Start SEQ Review

1. After the SEQ has been submitted by the agency, review can begin. Click 'Start Review'.

Kentucky Department of Financial Institutions

RETURN SEQ TO AGENCY   START REVIEW

Summary   Exhibits   News   Related Actions

Scheduling   Sent to Agency   Pending Agency Submission   **Submitted by Agency**   Under Review   Finalize Review   Report Submitted   Audit Complete   Closed

📑 **Sections & Topics Overview**

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
>	Section 1. Agency Administration and Finance	No Assignments	No Comments	🖨
>	Section 2. Personnel and Training	No Assignments	No Comments	🖨
>	Section 8. Credit Union - Examination	No Assignments	No Comments	🖨
>	Section 9. Credit Union - Supervision Powers	No Assignments	No Comments	🖨
>	Section 10. Credit Union - Legislative Powers	No Assignments	No Comments	🖨
>	Section 11. Credit Union - Bonus Attributes	No Assignments	No Comments	🖨
>	Section 12. MSB Examination Program	No Assignments	No Comments	🖨
>	Section 13. MSB Supervision and Legislation	No Assignments	No Comments	🖨

Note: This action can also be completed by selecting the Related Actions tab underneath the agency name header.

2. Click 'Submit' on the confirmation page.

Kentucky Department of Financial Institutions

Summary   Exhibits   News   **Related Actions**

Start Review

This action will set the Review Record status to "Under Review", and the team members will be notified to begin reviewing the SEQ. Are you sure you would like to proceed?

CANCEL   SUBMIT

3. Click 'Close' on the confirmation page.

Kentucky Department of Financial Institutions

Summary   Exhibits   News   **Related Actions**

Start Review Confirmation

✔ **The review has been started successfully!**
The review team members will receive an e-mail notification momentarily, and the review workflow has been started

CLOSE

Assign SEQ Review Sections
1. To assign review team members to specific sections in the submitted SEQ, click 'Assign Sections'.

Kentucky Department of Financial Institutions   ASSIGN SECTIONS   FINALIZE REVIEW

Summary   Exhibits   News   Related Actions

Scheduling	Sent to Agency	Pending Agency Submission	Submitted by Agency	Under Review	Finalize Review	Report Submitted	Audit Complete	Closed

Sections & Topics Overview

Section Name	Assignment / Individual Ratings	Individual Review Comments	
Section 1. Agency Administration and Finance	No Assignments	No Comments	🖶
Section 2. Personnel and Training	No Assignments	No Comments	🖶
Section 8. Credit Union - Examination	No Assignments	No Comments	🖶
Section 9. Credit Union - Supervision Powers	No Assignments	No Comments	🖶
Section 10. Credit Union - Legislative Powers	No Assignments	No Comments	🖶
Section 11. Credit Union - Bonus Attributes	No Assignments	No Comments	🖶
Section 12. MSB Examination Program	No Assignments	No Comments	🖶
Section 13. MSB Supervision and Legislation	No Assignments	No Comments	🖶

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. In order to assign a review team member to a section of the SEQ, select the user under the heading for the specific section by typing their name and then choosing the correct user. You may only choose from users who have been designated as part of the team for this review. You may update the team members for this specific review by managing the review at a higher level.

Assign SEQ Sections

Section 1. Agency Administration and Finance
Rob Reviewer ✖

Section 2. Personnel and Training
Rita Reviewer ✖

Section 8. Credit Union - Examination
Rob Reviewer ✖

Section 9. Credit Union - Supervision Powers
Rita Reviewer ✖

Section 10. Credit Union - Legislative Powers
Rob Reviewer ✖

Section 11. Credit Union - Bonus Attributes
Rita Reviewer ✖

Section 12. MSB Examination Program
Rob Reviewer ✖

Section 13. MSB Supervision and Legislation
Rita Reviewer ✖

CANCEL   SUBMIT

Note: Assigning review team members to sections is optional, and is also only a suggestion. The user selected does not have to perform that review, and additionally, review team members can perform reviews on sections that they are not specifically assigned to.

3. Once all assignments have been made, click 'Submit'.

Assign SEQ Sections

Section 1. Agency Administration and Finance
Rob Reviewer ✖

Section 2. Personnel and Training
Rita Reviewer ✖

Section 8. Credit Union - Examination
Rob Reviewer ✖

Section 9. Credit Union - Supervision Powers
Rita Reviewer ✖

Section 10. Credit Union - Legislative Powers
Rob Reviewer ✖

Section 11. Credit Union - Bonus Attributes
Rita Reviewer ✖

Section 12. MSB Examination Program
Rob Reviewer ✖

Section 13. MSB Supervision and Legislation
Rita Reviewer ✖

CANCEL   SUBMIT

Provide Review Comments
1. To view the responses for individual SEQ topics and provide comments, first click the sideways blue arrow next to the section that you are interested in.

## Kentucky Department of Financial Institutions

ASSIGN SECTIONS | FINALIZE REVIEW

Summary   Exhibits   News   Related Actions

Scheduling — Sent to Agency — Pending Agency Submission — Submitted by Agency — **Under Review** — Finalize Review — Report Submitted — Audit Complete — Closed

Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
>	Section 1. Agency Administration and Finance	Rob Reviewer	No Comments	🖨
>	Section 2. Personnel and Training	Rita Reviewer	No Comments	🖨
>	Section 8. Credit Union - Examination	Rob Reviewer	No Comments	🖨
>	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖨
>	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖨
>	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖨
>	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖨
>	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖨

2. Then click on the blue icon in the row for the topic that you want to view and comment on.

Kentucky Department of Financial Institutions

ASSIGN SECTIONS | FINALIZE REVIEW

Summary   Exhibits   News   Related Actions

Scheduling — Sent to Agency — Pending Agency Submission — Submitted by Agency — **Under Review** — Finalize Review — Report Submitted — Audit Complete — Closed

Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
∨	Section 1. Agency Administration and Finance	Rob Reviewer	No Comments	🖨
☑	Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart			
☑	Topic 1-B. Internal Communication			
☑	Topic 1-C. Communication with Other Regulatory Agencies			
☑	Topic 1-D. Communication with Industry			
☑	Topic 1-E. Consumer Education / Financial Literacy			

3. After viewing the questions and responses, and the associated documents, navigate to the bottom and click 'Add Comment' below the grid in the Individual Review & Comments section.

Please provide any other comments related to the questions above.

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Odio ut enim blandit volutpat maecenas volutpat. Phasellus egestas tellus rutrum tellus pellentesque eu tincidunt. Tempor orci eu lobortis elementum nibh tellus molestie nunc. Non consectetur a erat nam at. Varius vel pharetra vel turpis nunc eget lorem. Nunc non blandit massa enim nec dui nunc mattis. Leo in vitae turpis massa sed elementum tempus. Vitae congue mauris rhoncus aenean vel elit.

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

🗀 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❓
No Review Comments for Topic		

➕ Add Comment

CANCEL   SUBMIT

4. Add your comment text and then click 'Add'.

📄 **Individual Review & Comments**

Comment	Added By
No Review Comments for Topic	

☐ **Add a New Comment to Topic**

New Comment *

This looks very thorough.

Provide any individual comments regarding this topic. Other review team members will be able to view the comment. Character count: 25/1500

BACK   ADD

5. You may edit or delete your comments after they have been added.

☑ **1A. Standards & Ratings**

Please provide any other comments related to the questions above.

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Odio ut enim blandit volutpat maecenas volutpat. Phasellus egestas tellus rutrum tellus pellentesque eu tincidunt. Tempor orci eu lobortis elementum nibh tellus molestie nunc. Non consectetur a erat nam at. Varius vel pharetra vel turpis nunc eget lorem. Nunc non blandit massa enim nec dui nunc mattis. Leo in vitae turpis massa sed elementum tempus. Vitae congue mauris rhoncus aenean vel elit.

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❓
This looks very thorough.	Cathy CSBS	✏ Edit 🗑 Delete
➕ Add Comment		

CANCEL   SUBMIT

6. Once all comments are added as necessary, click 'Submit'. Comments are not required.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❓
This looks very thorough.	Cathy CSBS	✏ Edit 🗑 Delete
➕ Add Comment		

CANCEL   SUBMIT

Note: CSBS staff can also edit or delete any comments added by the review team.

Finalize Review

1. Move the review forward after individual comments and ratings have been added, click 'Finalize Review'.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. Click 'Submit' on the confirmation page.

3. Click 'Close' on the confirmation page.

View and Print Calculated Scoresheet

1. To view the agency score and team score as compared to the passing score and maximum score for each accreditation type in an SEQ review, click 'Scoresheet' underneath the agency name header.

2. This will direct you to a topic-by-topic level listing on the team and agency ratings, and the calculated corresponding scores. At the top there is a summary for each accreditation type with the summed scores and their comparison to the passing and total scores, as appropriate.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection			
🖃 **Credit Union**		🖸 **MSB**	
843 Agency Score	**959** Team Score	**1177** Agency Score	**1265** Team Score
Passing Score: 851	Max Score: 1641	Passing Score: 1056	Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15

3. If this SEQ review has more than one associated accreditation type, you can switch between viewing score summaries for the different types by clicking on any of the grey colored boxes at the top of the page. For instance, clicking anywhere within the area outlined in red below will switch the view to show only MSB ratings and scores for this SEQ review.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection			
🖃 **Credit Union**		🖸 **MSB**	
843 Agency Score	**959** Team Score	**1177** Agency Score	**1265** Team Score
Passing Score: 851	Max Score: 1641	Passing Score: 1056	Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10

4. In order to view a printable version of *all* ratings and scores for *all* accreditation types (if more than one is applicable), click 'View All Scores'.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection			
🖃 **Credit Union**		🖸 **MSB**	
843 Agency Score	**959** Team Score	**1177** Agency Score	**1265** Team Score
Passing Score: 851	Max Score: 1641	Passing Score: 1056	Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10

5. You can now use your browser's print function to print a copy of all relevant data for this SEQ review. When you are finished printing you can return to the summary scoresheet page by clicking 'Selection View'.

📄 **Scoresheet**

⟲ Selection View

✉ EXPORT

SEQ Score Overview	Credit Union Score	MSB Score
Agency Totals	843	1177
Review Team Totals	959	1265
Passing Score	851	1056
Max Score	1641	1920

Credit Union Scores

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10
Topic 1-E. Consumer Education / Financial Literacy	4	3	12	3	12
Topic 1-F. Access to Legal Assistance	5	0	0	1	5
Topic 1-G. Agency Facilities	3	3	9	3	9
Topic 1-H. Business Continuity Plan	5	2	10	2	10
Topic 1-I. Technology Infrastructure and Cybersecurity	16	1	16	2	32
Topic 1-J. Budget Revenue Source / Contingency Plan	12	1	12	1	12
Topic 1-K. Budget Expenses / Supplemental Budgets	12	3	36	2	24
Section 1 Total (Max Score: 240 Passing Score: 120)		20	136	23	155

Section 2. Personnel and Training	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 2-A. Personnel Manual	5	1	5	1	5
Topic 2-B. Job Descriptions	5	0	0	1	5
Topic 2-C. Hiring Policies	5	3	15	2	10
Topic 2-D. Promotional Opportunities / Pay for Performance	5	2	10	2	10
Topic 2-E. Performance Appraisal Process	5	2	10	2	10

Provide Recommendations/Suggestions/Accolades

1. To view the findings for a SEQ review, click 'Findings' underneath the agency name header.

Kentucky Department of Financial Institutions

SUBMIT REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | Related Actions

Scheduling — Sent to Agency — Pending Agency Submission — Submitted by Agency — Under Review — **Finalize Review** — Report Submitted — Audit Complete — Closed

Sections & Topics Overview

Section Name	Assignment / Individual Ratings	Individual Review Comments	
Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖶
Section 2. Personnel and Training	Rita Reviewer	2 Comments	🖶
Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖶
Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖶
Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖶
Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖶
Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖶
Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖶

2. In order to add or update recommendations related to this accreditation SEQ, click 'Manage Recommendations'.

3. All of the topics with a rating of 1 or 0 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

4. To add a new recommendation, click 'Add Recommendation'.

5. Choose a topic for this recommendation to relate to, and then choose the corresponding accreditation type and enter the text of your recommendation. Once you have filled in all the fields, click 'Add'.

6. You can edit or delete an existing recommendation by selecting either action in the corresponding row of a previously-added recommendation.

📄 **Recommendations**

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

7. Once all recommendations have been added, click 'Done' to go back to the view of all findings.

📄 **Recommendations**

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

DONE

8. In order to add or update suggestions related to this accreditation SEQ, click 'Manage Suggestions'.

☰ **Suggestions**   ✏ Manage Suggestions

Topic	Suggestion	Accreditation Type
	No Suggestions Added	

9. To add a new suggestion, click 'Add Suggestion'.

Manage Suggestions

📄 **Suggestions**

Topic	Suggestion	Accreditation Type	Actions
	No Suggestions Added		

➕ Add Suggestion

10. Choose a topic for this suggestion to relate to, and then choose the corresponding accreditation type and enter the text of your suggestion. Once you have filled in all the fields, click 'Add'.

Add a New Suggestion

Topic Selection	Accreditation Type
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions ✕	Credit Union ▾

NOTE: For suggestions, only topics that have received a team rating of '2' will be available to be selected

Suggestion *

Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Character count: 1252/1500

BACK   ADD

Note: For suggestions, only topics that have received a team rating of '2' will be available to be selected

11. You can edit or delete an existing suggestion by selecting either action in the corresponding row of a previously-added suggestion.

Suggestions

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam.	Credit Union	✎ Edit 🗑 Delete

➕ Add Suggestion

12. Once all suggestions have been added, click 'Done' to go back to the view of all findings.

Manage Suggestions

Suggestions

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam.	Credit Union	✎ Edit 🗑 Delete

➕ Add Suggestion

DONE

13. In order to add or update accolades related to this accreditation SEQ, click 'Manage Accolades'.

Accolades   ✎ Manage Accolades

Topic	Accolade	Accreditation Type
	No Accolades Added	

14. All of the topics with a rating of 3 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

Manage Accolades

⭐ **Topics with a '3' Team Rating**

Topic Name	Accreditation Type	Review Team Comments
1-C. Communication with Other Regulatory Agencies	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
1-E. Consumer Education / Financial Literacy	MSB	
1-E. Consumer Education / Financial Literacy	Credit Union	
1-G. Agency Facilities	MSB	
1-G. Agency Facilities	Credit Union	
2-C. Hiring Policies	MSB	
2-I. Training Manual and On-the-Job Training	MSB	
2-I. Training Manual and On-the-Job Training	Credit Union	
8-C-8. Scope of Examination Capabilities: Ability to Examine Credit Union Off Balance Sheet Items	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
8-E. Planning Individual Safety and Soundness Exams	Credit Union	

‹ **1 – 10** of 15 ›

15. To add a new accolade, click 'Add Accolade'.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
	No Accolades Added		

➕ Add Accolade

16. Choose a topic for this accolade to relate to, and then choose the corresponding accreditation type and enter the text of your accolade. Once you have filled in all the fields, click 'Add'.

▢ **Add a New Accolade**

Topic Selection   **Accreditation Type**

8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually ✖   Credit Union ▾

Accolade *

Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing

Character count: 1078/1500

[BACK]   [ADD]

17. You can edit or delete an existing accolade by selecting either action in the corresponding row of a previously-added accolade.

Accolades

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt vitae semper quis lectus nulla. Sollicitudin tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✎Edit 🗑Delete

⊕ Add Accolade

18. Once all accolades have been added, click 'Done' to go back to the view of all findings.

Accolades

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt vitae semper quis lectus nulla. Sollicitudin tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✎Edit 🗑Delete

⊕ Add Accolade

DONE

Manage Review Documents

1. To add documents that will only be seen by the review team of an individual accreditation SEQ, click 'Exhibits'.

Colorado Division of Banking

SUBMIT REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | Related Actions

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | **Finalize Review** | Report Submitted | Audit Complete | Closed |

Sections & Topics Overview

Section Name	Assignment / Individual Ratings	Individual Review Comments	
Section 1. Agency Administration and Finance	Rita Reviewer, Randy Reviewer	2 Comments	🖨
Section 2. Personnel and Training	Rita Reviewer, Randy Reviewer	No Comments	🖨
Section 3. Bank Examination Policies and Procedures	Rita Reviewer	No Comments	🖨
Section 4. Bank Examination Capabilities	Rita Reviewer	No Comments	🖨
Section 5. Bank Supervision and Legislation	Rita Reviewer	No Comments	🖨
Section 6. Mortgage Examination Program	Rita Reviewer	No Comments	🖨
Section 7. Mortgage Supervision and Legislation	Rita Reviewer	No Comments	🖨

2. Then click 'Review Team Documents'.

Colorado Division of Banking

REVIEW TEAM DOCUMENTS

Summary | Exhibits | Team Review | Scoresheet | Findings | Related Actions

📁 SEQ Documents

File	Description	Associated Topics
Test File - Word	No description Added	3-A. Examination Frequency Policy/Ability to Meet Policy
Test File - PDF	No description Added	2-B. Job Descriptions
Test File - Word	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart
Test File - Word	No description Added	1-I. Technology Infrastructure and Cybersecurity
Test File - Excel	No description Added	1-J. Budget Revenue Source / Contingency Plan

3. To add a new document, click 'Upload New Document' below the grid.

Manage Review Team Documents

📁 **Documents for Review Team**

File	Description	Actions
Jira (2)	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada bibendum arcu vitae. Etiam sit amet nisl purus in mollis nunc sed. Sed id semper risus in hendrerit gravida rutrum. Convallis tellus id interdum velit laoreet id donec ultrices tincidunt. Urna id volutpat lacus laoreet non curabitur gravida. Non curabitur gravida arcu ac tortor dignissim. Amet tellus cras adipiscing enim eu turpis egestas. Laoreet suspendisse interdum consectetur libero id faucibus nisl tincidunt eget. Eget mauris pharetra et ultrices neque ornare aenean. Ornare lectus sit amet est placerat in. Viverra orci sagittis eu volutpat odio facilisis mauris. In eu mi bibendum neque egestas congue quisque. Luctus accumsan tortor posuere ac ut. Luctus venenatis lectus magna fringilla urna,	✏ Edit 🗑 Delete
07232019TestDoc	No description Added	✏ Edit 🗑 Delete

➕ Upload New Document

4. Upload a document from your computer, and optionally provide a description. Then click 'Add Document'.

📄 **Add Document**

Upload Document *

| UPLOAD | 🔲 Drop file here |

Description

Provide a description about the document

Character count: 0/1000

BACK   ADD DOCUMENT

5. You can edit or delete any previously-added review document by clicking on either action in the corresponding row.

📁 **Documents for Review Team**

File	Description	Actions
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq	✏ Edit 🗑 Delete
Jira (2)	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada bibendum arcu vitae. Etiam sit amet nisl purus in mollis nunc sed. Sed id semper risus in hendrerit gravida rutrum. Convallis tellus id interdum velit laoreet id donec ultrices tincidunt. Urna id volutpat lacus laoreet non curabitur gravida. Non curabitur gravida arcu ac tortor dignissim. Amet tellus cras adipiscing enim eu turpis egestas. Laoreet suspendisse interdum consectetur libero id faucibus nisl tincidunt eget. Eget mauris pharetra et ultrices neque ornare aenean. Ornare lectus sit amet est placerat in. Viverra orci sagittis eu volutpat odio facilisis mauris. In eu mi bibendum neque egestas congue quisque. Luctus accumsan tortor posuere ac ut. Luctus venenatis lectus magna fringilla urna,	✏ Edit 🗑 Delete
07232019TestDoc	No description Added	✏ Edit 🗑 Delete

➕ Upload New Document

6. Once you have finished adding all documents for the review team, click 'Close'.

Manage Review Team Documents

📂 **Documents for Review Team**

File	Description	Actions
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq	✏ Edit 🗑 Delete
Jira (2)	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada bibendum arcu vitae. Etiam sit amet nisl purus in mollis nunc sed. Sed id semper risus in hendrerit gravida rutrum. Convallis tellus id interdum velit laoreet id donec ultrices tincidunt. Urna id volutpat lacus laoreet non curabitur gravida. Non curabitur gravida arcu ac tortor dignissim. Amet tellus cras adipiscing enim eu turpis egestas. Laoreet suspendisse interdum consectetur libero id faucibus nisl tincidunt eget. Eget mauris pharetra et ultrices neque ornare aenean. Ornare lectus sit amet est placerat in. Viverra orci sagittis eu volutpat odio facilisis mauris. In eu mi bibendum neque egestas congue quisque. Luctus accumsan tortor posuere ac ut. Luctus venenatis lectus magna fringilla urna,	✏ Edit 🗑 Delete
07232019TestDoc	No description Added	✏ Edit 🗑 Delete

⊕ Upload New Document

CLOSE

7. These documents will be available for viewing by the review team and CSBS staff in the 'Exhibits' tab for the individual review. Agency users will not be able to view any of the review team documents.

| Summary | **Exhibits** | Team Review | Scoresheet | Findings | Related Actions |

📂 **SEQ Documents**

File	Description	Associated Topics
Test File - Word	No description Added	3-A. Examination Frequency Policy/Ability to Meet Policy
Test File - PDF	No description Added	2-B. Job Descriptions
Test File - Word	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart
Test File - Word	No description Added	1-I. Technology Infrastructure and Cybersecurity
Test File - Excel	No description Added	1-J. Budget Revenue Source / Contingency Plan
Test File - Word	No description Added	1-E. Consumer Education / Financial Literacy
Test File - PDF	No description Added	1-K. Budget Expenses / Supplemental Budgets
Test File - Excel	No description Added	7-E. Use of Enforcement Authority
Test File - PDF	No description Added	1-D. Communication with Industry
Test File - Word	No description Added	1-F. Access to Legal Assistance 1-K. Budget Expenses / Supplemental Budgets 7-C. Authority to Examine Mortgage Servicers 6-C. Examination Policy on Risk Scoping 3-D. Examination Manuals 1-C. Communication with Other Regulatory Agencies

‹ **1 – 10** of 15 ›

📂 **Review Team Documents**

File	Description
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq

Generate Review Report

1. To generate a DOCX version of the review report document for an accreditation SEQ, click 'Related Actions'.

2. Then click 'Generate Review Report'.

3. Click 'Close' on the confirmation page.

Report Generation Confirmation

✔ **The review is now being generated.**
An email containing the review report document will be sent to you once the generation is complete.

CLOSE

4. Wait for the document to be emailed to you from sender 'AOS Generate Review Document'.

Review Report Document For Colorado Division of Banking Inbox ×

AOS Generate Review Document <process536925966@csbs-test.appiancloud.com>   10:03 AM (0 minutes ago)
to me ▾

The review report for the 5-year accreditation is attached. Please contact CSBS staff with any questions regarding accreditation.

Submit Review Report for Audit

1. To submit the review report for audit, click 'Submit Review' while the review record is in the finalize review status, after all reviews and findings have been added.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. The audit team members for the specific accreditation SEQ are shown. After uploading the review report document in PDF form (learn how to generate that document [here](#)) click 'Submit'.

3. Click 'Close' on the confirmation page.

Reassign Audit Tasks

1. To reassign the audit tasks for a submitted accreditation review, click 'Audit Review'.

Colorado Division of Banking

UPLOAD REPORT & CLOSE REVIEW

Summary Exhibits Team Review Scoresheet Findings Audit Review Related Actions

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	Randy Reviewer, Rita Reviewer	2 Comments	🖶
›	Section 2. Personnel and Training	Rita Reviewer, Randy Reviewer	No Comments	🖶
›	Section 3. Bank Examination Policies and Procedures	Rita Reviewer	No Comments	🖶
›	Section 4. Bank Examination Capabilities	Rita Reviewer	No Comments	🖶
›	Section 5. Bank Supervision and Legislation	Rita Reviewer	No Comments	🖶
›	Section 6. Mortgage Examination Program	Rita Reviewer	No Comments	🖶
›	Section 7. Mortgage Supervision and Legislation	Rita Reviewer	No Comments	🖶

2. Here you can download the review report document, view the members of both the review team and the audit team, view any existing notes from audit tasks that have already been completed, and view a list of outstanding audit tasks for this accreditation review record. If you want to reassign one of the audit tasks, click the blue arrow icon in the row corresponding to the task you want to reassign.

⬇ Review Audit Documents

Colorado Division of Banking - Bank, Mortgage Review Report

👥 Audit Team

Amanda Auditor
Allen Auditor
Ashley Auditor
Aaron Auditor

👥 Reviewers

Rita Reviewer
Randy Reviewer
Rachel Reviewer

📄 Notes From Audit Team

Comments	Last Modified By
Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliquam. Adipiscing at in tellus integer feugiat scelerisque varius. Sit amet aliquam id diam.	Ashley Auditor
Sit amet est placerat in egestas. Sed viverra ipsum nunc aliquet bibendum enim. Tincidunt id aliquet risus feugiat. Amet cursus sit amet dictum sit amet justo donec. Ut aliquam purus sit amet luctus venenatis lectus magna. Odio aenean sed adipiscing diam donec adipiscing. Id nibh tortor id aliquet lectus proin nibh. Etiam tempor orci eu lobortis elementum nibh tellus molestie. Facilisis volutpat est velit egestas dui. Lorem ipsum dolor sit amet consectetur adipiscing. Praesent semper feugiat nibh sed pulvinar.	

Active Tasks for Audit Team

Start Time	Task Name	Assignee(s)	
10/16/2019 11:23 AM	Review Audit	Allen Auditor	➤
10/16/2019 11:23 AM	Review Audit	Amanda Auditor	➤
10/16/2019 12:00 PM	Review Audit	Aaron Auditor	➤

3. Choose a new assignee for this audit task. The user chosen must have the role of Auditor within the AOS system. Learn how to change those roles here. Once you have selected the correct user, click 'Reassign Task'.

Reassign Audit Task

✓ Task Details

Task Name	Review Audit	**New Assignee** *
Original Assignees	Allen Auditor	👤 Ashe Auditor ✖

CANCEL

REASSIGN TASK

4. This new user will be added to the audit team for this accreditation review and they will now have a task in the listing at the bottom.

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

📥 Review Audit Documents

Colorado Division of Banking - Bank, Mortgage Review Report

👥 Audit Team

Amanda Auditor
Allen Auditor
Ashley Auditor
Aaron Auditor
Ashe Auditor
5 items

👥 Reviewers

Rita Reviewer
Randy Reviewer
Rachel Reviewer

📄 Notes From Audit Team

Comments	Last Modified By
Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliquam. Adipiscing at in tellus integer feugiat scelerisque varius. Sit amet aliquam id diam. Sit amet est placerat in egestas. Sed viverra ipsum nunc aliquet bibendum enim. Tincidunt id aliquet risus feugiat. Amet cursus sit amet dictum sit amet justo donec. Ut aliquam purus sit amet luctus venenatis lectus magna. Odio aenean sed adipiscing diam donec adipiscing. Id nibh tortor id aliquet lectus proin nibh. Etiam tempor orci eu lobortis elementum nibh tellus molestie. Facilisis volutpat est velit egestas dui. Lorem ipsum dolor sit amet consectetur adipiscing. Praesent semper feugiat nibh sed pulvinar.	Ashley Auditor

☰ Active Tasks for Audit Team

Start Time	Task Name	Assignee(s)	
10/16/2019 12:09 PM	Review Audit	Ashe Auditor	➤
10/16/2019 11:23 AM	Review Audit	Amanda Auditor	➤
10/16/2019 12:00 PM	Review Audit	Aaron Auditor	➤

Upload Report and Close Review

1. To upload the final report after any changes have been made after audit, click 'Upload Report & Close Review' while the review record is in the Audit Complete status.

Kentucky Department of Financial Institutions

UPLOAD REPORT & CLOSE REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | Audit Review | Related Actions

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | Finalize Review | Report Submitted | Audit Complete | Closed |

☰ Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖨
›	Section 2. Personnel and Training	Rita Reviewer	2 Comments	🖨
›	Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖨
›	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖨
›	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖨
›	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖨
›	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖨
›	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖨

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. Confirm that you have made all necessary updates and changes based off of the audit results, then upload the final report document(s) in PDF format. Once finished uploading, click 'Continue'.

Upload Final Review Report

☑ **Confirmation**

Have you made all applicable changes to the system based on the report revisions? *
◉ Yes ○ No

📄 **Document Upload**

Final Report Document(s) ❓

📄 **Kentucky Department of Financial Institutions - Credit ...**
PDF – 177.65 KB

➕ 🗋 *Drop files here*

Upload the PDF document(s) of the Final Review Report for this record

CANCEL   CONTINUE

3. You can make any necessary edits to the uploaded files, or add a new file as part of the final document package.

Close Accreditation

📄 **Uploaded Final Report Documents**

File	Actions
Kentucky Department of Financial Institutions - Credit Union, MSB Review Report	✏ Edit 🗑 Delete
➕ Upload New Document	

☀ **Accreditation Decision Status & Date**

MSB Final Report Document	MSB Status	Accreditation Date
--- Select Document ---	In-Progress	10/16/2019
Credit Final Report Document	**Credit Status**	**Accreditation Date**
--- Select Document ---	In-Progress	10/16/2019

CANCEL   SUBMIT

4. Once the documents are all correct, select one document as the final report for each different accreditation type. You may use the same document for multiple different types, or you may have one document uploaded per type.

Close Accreditation

📄 **Uploaded Final Report Documents**

File	Actions
Kentucky Department of Financial Institutions - Credit Union, MSB Review Report	✏ Edit 🗑 Delete
➕ Upload New Document	

☀ **Accreditation Decision Status & Date**

MSB Final Report Document	MSB Status	Accreditation Date
Kentucky Department of Financial Institutions - Credit Union, MSB Review Report	In-Progress	10/16/2019
Credit Final Report Document	**Credit Status**	**Accreditation Date**
Kentucky Department of Financial Institutions - Credit Union, MSB Review Report	In-Progress	10/16/2019

CANCEL   SUBMIT

5. Finally, update the accreditation status from 'In-Progress' to the appropriate new status for each type, and enter an accreditation date for each type. Then click 'Submit'.

Close Accreditation

📄 **Uploaded Final Report Documents**

File	Actions
Kentucky Department of Financial Institutions - Credit Union, MSB Review Report	✏ Edit 🗑 Delete
⊕ Upload New Document	

⚙ **Accreditation Decision Status & Date**

MSB Final Report Document

Kentucky Department of Financial Institutions - Credit Union, MSB Review Report ▼		

MSB Status | **Accreditation Date**

| Accredited ▼ | 10/23/2019 |

Credit Final Report Document

| Kentucky Department of Financial Institutions - Credit Union, MSB Review Report ▼ |

Credit Status | **Accreditation Date**

| Accredited ▼ | 10/30/2019 |

CANCEL   SUBMIT

6. Click 'Close' on the confirmation page.

Close Review Confirmation

✔ **The review has been successfully completed!**
The final documents, decisions, and dates have been updated for this record and the review is now closed.

CLOSE

Records Page

This page allows users to view all of the details about individual 5-year accreditation reviews for the agencies present in the system – past and present. This tab shows both active and past records, and it is a running list of all SEQ reviews created within the system.

Organization Name	Accreditation Type	Review Date	Status
Alabama State Banking Dept	Bk	10/31/2019	Audit Complete
Alabama State Banking Dept	CU	1/2/2020	Closed
Alabama State Banking Dept	MSB	9/12/2019	Finalize Review
Alabama State Banking Dept	Mtg	9/4/2019	Finalize Review
Alaska Division of Banking and Securities	Bk, Mtg, CU	9/28/2019	Pending Agency Submission
Arizona Department of Financial Institutions	Bk, Mtg	11/1/2019	Sent to Agency
Arizona Department of Financial Institutions	CU	10/25/2019	Scheduling
California Department of Business Oversight	Bk, Mtg	11/30/2019	Sent to Agency
Colorado Division of Banking	CU	12/25/2019	Pending Agency Submission
Colorado Division of Banking	MSB	1/1/2020	Under Review
Colorado Division of Banking	Bk, Mtg	12/25/2019	Finalize Review
Connecticut Department of Banking	Bk	11/1/2019	Scheduling
Delaware Office of the State Bank Commissioner	CU, MSB	9/9/2019	Closed
Delaware Office of the State Bank Commissioner	Bk, Mtg	7/27/2019	Closed
District of Columbia Department of Insurance Securities and Banking	Bk	9/4/2019	Sent to Agency
Florida Office of Financial Regulation	MSB	1/31/2020	Under Review
Florida Office of Financial Regulation	Bk, Mtg	9/30/2019	Finalize Review
Iowa Division of Banking	Mtg	12/26/2019	Report Submitted

Search and Filter

1. To search for a specific accreditation review, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

2. To filter by review date or review status, click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

3. After locating the correct record, clicking on the name of the organization will direct the user to the individual record for that specific accreditation review.

Reports Page

This page allows users to view aggregate data about accreditation reviews that are in the system. There are multiple different types of reports available, which are all designed to roll up the data in different meaningful ways.

Aggregate Scores Report

1. To view total scores for all agencies whose review has been completed, click the blue 'Aggregate Scores Report' link.
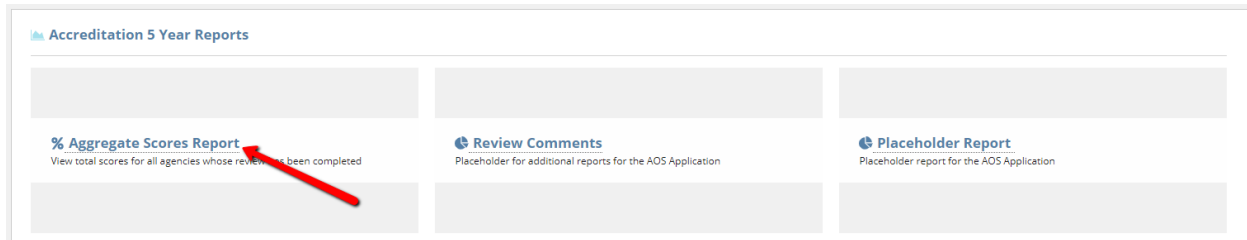
2. To search for a specific score set, enter part or all of the agency name into the search bar above the grid and then click 'Search'.
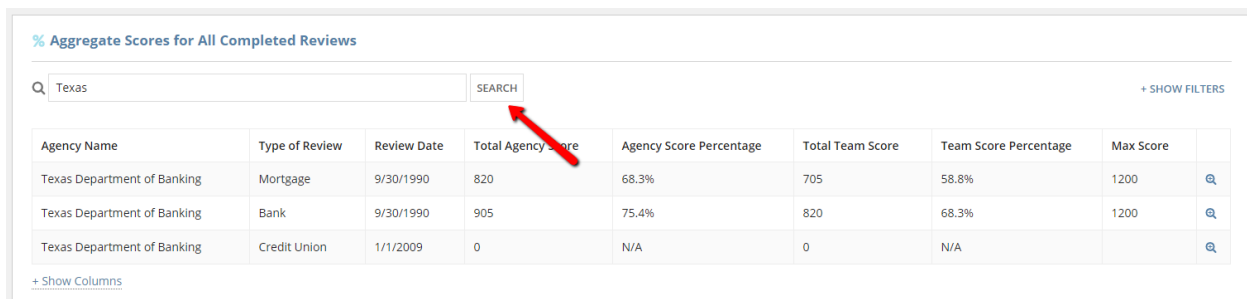
3. To filter by on-site date or accreditation type, first click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.
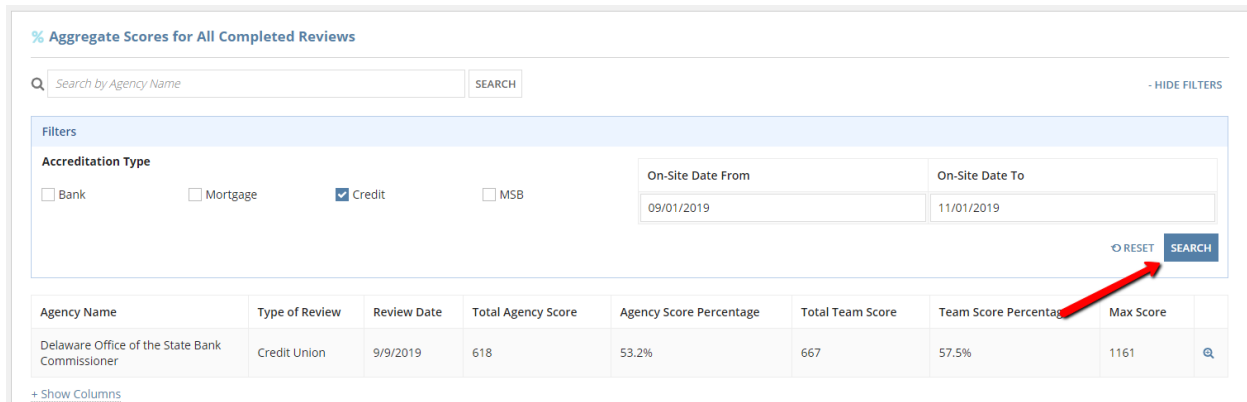
4. To hide columns that aren't relevant, or restore columns that were previously hidden, flirst click '+ Show Columns' below the grid and then after the column selection dropdown appears, select and de-select columns as needed, and the changes will be effective immediately in the grid.

% Aggregate Scores for All Completed Reviews

Agency Name	Type of Review	Total Team Score	Team Score Percentage	Max Score	
Delaware Office of the State Bank Commissioner	MSB	870	60.4%	1440	🔍
Delaware Office of the State Bank Commissioner	Credit Union	667	57.5%	1161	🔍
Vermont Department of Financial Regulation	Bank	0	0%	1200	🔍

- Hide Columns

Total Team Score, Team Score Percentage, Max Score ◀

☑ All | ☐ None

Note: Even if no columns are selected in the dropdown, the Agency Name, Type of Review, and magnifying glass columns will still appear as default.

5. After locating the correct record, clicking on blue magnifying glass icon will direct the user to the section-by-section scores for that specific accreditation review.

Aggregate Scores / Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

≣ Section Score Details for Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

Section	Total Agency Score	Agency Score Percentage	Total Team Score	Team Score Percentage	Max Score
1. Agency Administration and Finance	0	0%	126	52.5%	240
2. Personnel and Training	0	0%	110	45.8%	240
12. MSB Examination Program	325	34.9%	0	0%	930
13. MSB Supervision and Legislation	380	74.5%	0	0%	510

+ Show Columns

6. To hide columns that aren't relevant, or restore columns that were previously hidden, flirst click '+ Show Columns' below the grid and then after the column selection dropdown appears, select and de-select columns as needed, and the changes will be effective immediately in the grid.

Aggregate Scores / Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

≣ Section Score Details for Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

Section	Total Team Score	Team Score Percentage	Max Score
1. Agency Administration and Finance	126	52.5%	240
2. Personnel and Training	110	45.8%	240
12. MSB Examination Program	0	0%	930
13. MSB Supervision and Legislation	0	0%	510

- Hide Columns

Total Team Score, Team Score Percentage, Max Score ◀

☑ All | ☐ None

Note: Even if no columns are selected in the dropdown, the Section columns will still appear as default.

7. To navigate back to the aggregate scores for all completed accreditations reviews, click 'Aggregate Scores'. At any time you can navigate back to the listing of report types by clicking the 'Reports' at the very top of the page.

Aggregate Scores / Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

Section Score Details for Delaware Office of the State Bank Commissioner - MSB Review (9/9/2019)

Section	Total Agency Score	Agency Score Percentage	Total Team Score	Team Score Percentage	Max Score
1. Agency Administration and Finance	0	0%	126	52.5%	240
2. Personnel and Training	0	0%	110	45.8%	240
12. MSB Examination Program	325	34.9%	0	0%	930
13. MSB Supervision and Legislation	380	74.5%	0	0%	510

+ Show Columns

Review Comments Report

1. To view an aggregation of the comments for each accreditation review, click on 'Review Comments'.

2. To search for a specific comment set, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

3. To filter by review date or review status, first click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

4. After locating the correct record, clicking on organization name will direct the user to the topic-by-topic comments for that specific accreditation review.

5. To hide columns that aren't relevant, or restore columns that were previously hidden, flirst click '+ Show Columns' below the grid and then after the column selection dropdown appears, select and de-select columns as needed, and the changes will be effective immediately in the grid.

Note: Even if no columns are selected in the dropdown, the Topic Name column will still appear as default.

6. To filter by section, topic, or commenter, first click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

7. After locating the correct topic and comment, clicking on topic name will direct the user to a view-only version of the questions and answers for that topic, as well as all of the associated comments.

Agency MSB Rating   2 - The agency meets the standard.

📂 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

ℹ **1A. Individual Review**

Individual Credit Union Rating

Individual MSB Rating

Comment	Added By
This looks very thorough.	Cathy CSBS

8. To navigate back to topic-by-topic comments for the originally selected accreditation review, click 'Review Comments'.

Review Record List / **Review Comments** / Topic Details

ℹ **1A. Introduction**

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2.

+ SHOW PROFILE INFORMATION

✎ **1A. Questions**

1. The agency has a strategic plan.	2. The agency has a mission statement.	3. The strategic plan has been reviewed in the past 12 months.
Yes	Yes	Yes
	2.1. If yes, please include mission statement below.	

9. To view all of the individual and team ratings for the topics that have been commented upon, click on the magnifying glass icon in the corresponding row.

Review Record List / **Review Comments**

✎ **Review Team Comments**

+ SHOW FILTERS

Select a Comment to Drill Into the Associated Topic

Topic Name	Comment	Commented By	
1-A. Mission Statement, Strategic Plan and Organizational Chart	This looks very thorough.	Cathy CSBS	🔍

+ Show Columns

10. Once you are finished viewing the ratings, click 'Review Comments' to navigate back to topic-by-topic comments for the originally selected accreditation review. At any time you can navigate back to the listing of report types by clicking the 'Reports' at the very top of the page.

Review Team Member

Home Page

The sections of the home page are described in more detail below.

Resources

For your convience, resources for review team members are linked on the dashboard for quick reference and access.

Announcements

All active announcements in the system are shown at the top of the home page. They are targeted to the review team users specifically.

Open Review Records

The main informative and transactional section of the home page is the grid of all open review records. This listing references each 5-year accreditation SEQ that has been scheduled but not yet completed. Clicking on the organization name will direct you to the record for that specific accreditation review, from which there are many actions available and scores/ratings can be viewed. You can only see records for which you have been added to the review team by a CSBS internal staff member.

Organization Name	Accreditation Type	Status	Onsite Review Date ↑
Maine Bureau of Financial Institutions	Mtg, CU	Sent to Agency	9/26/2019
Kentucky Department of Financial Institutions	CU, MSB	Under Review	10/28/2019 📅
Virginia Bureau of Financial Institutions	MSB	Sent to Agency	10/31/2019
Arizona Department of Financial Institutions	Bk, Mtg	Sent to Agency	11/1/2019 📅
California Department of Business Oversight	Bk, Mtg	Sent to Agency	11/30/2019
Colorado Division of Banking	Bk, Mtg	Finalize Review	12/25/2019 📅
Colorado Division of Banking	CU	Pending Agency Submission	12/25/2019
Colorado Division of Banking	MSB	Under Review	1/1/2020 📅
North Dakota Department of Financial Institutions	Bk, MSB	Pending Agency Submission	4/10/2020
North Dakota Department of Financial Institutions	Mtg	Pending Agency Submission	5/22/2020 📅

10 items

Individual Review Record

This view of one specific 5-year accreditation review allows users to view and print the SEQ responses that the agency users have entered. This record also contains the agency ratings and review team scores, as well

as any associated documents for the SEQ. Finally, the actions associated with advancing the process of the SEQ toward completion are found here.

View and Print SEQ Responses

1. To print the questions and responses for any given section of the SEQ, click the printer icon on the corresponding row. You can perform this action whether or not the agency has responded to any of the questions or completed any of the topics.

2. Once you are looking at the read-only version of the section, use the print feature on your browser to print out the entire contents of the page. If you want to view and/or print information from the agency's Profile online system, click '+ Show Profile Information'. This will open a section and display any relevant data, as well as a link to open the Profile page itself in another browser tab. Not all agencies will have Profile data to display in this section.

Kentucky Department of Financial Institutions

Summary Agency Scoresheet SEQ Documents News Related Actions

SEQ Overview / 1. Agency Administration and Finance

ⓘ **1A. Introduction**

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2.

+ SHOW PROFILE INFORMATION

✎ **1A. Questions**

1. The agency has a strategic plan.	2. The agency has a mission statement.	3. The strategic plan has been reviewed in the past 12 months.
		3.1. Date the strategic plan was updated:
4. The following are involved in developing the agency's strategic plan:	5. The final strategic plan is communicated to the agency's employees via:	6. Assignments are made for completion of strategic actions.
7. Timeframes are established for completion of the strategic actions.	8. The goals of the strategic plan have been met in the timeframes anticipated.	9. Please explain how progress on the strategic plan is monitored
10. A succession plan has been adopted.	11. If the commissioner were to become incapacitated, his/her duties would be assumed by:	12. The agency has an up-to-date organizational chart showing direct lines of responsibility.
13. The agency reports to a board, advisory council, or similar.	14. Current job descriptions correspond to the employee positions shown on the organizational chart.	15. Briefly describe the operational units of the agency (i.e. banking, mortgage, credit union, securities) and their primary responsibilities.

☑ **1A. Standards & Ratings**

Please provide any other comments related to the questions above.

View and Download SEQ Exhibits

1. To view and download all of the documents associated with an accreditation SEQ record, click 'Exhibits' once the review is in the Submitted by Agency status, or at any point after that status.

Kentucky Department of Financial Institutions

ASSIGN SECTIONS SUBMIT REVIEW

Summary Exhibits Team Review Scoresheet Findings News Related Actions

Scheduling	Sent to Agency	Pending Agency Submission	Submitted by Agency	Under Review	**Finalize Review**	Report Submitted	Audit Complete	Closed

▤ **Sections & Topics Overview**

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖨
›	Section 2. Personnel and Training	Rita Reviewer	No Comments	🖨
›	Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖨
›	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖨
›	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖨
›	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖨
›	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖨
›	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖨

2. Any document added by the agency users or by the CSBS internal staff is available for download by clicking on the document name. The topics that each document is associated with are shown in the corresponding rows (for SEQ documents only).

File	Description	Associated Topics
Test File - Word	No description Added	3-A. Examination Frequency Policy/Ability to Meet Policy
Test File - PDF	No description Added	2-B. Job Descriptions
Test File - Word	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart
Test File - Word	No description Added	1-I. Technology Infrastructure and Cybersecurity
Test File - Excel	No description Added	1-J. Budget Revenue Source / Contingency Plan
Test File - Word	No description Added	1-E. Consumer Education / Financial Literacy
Test File - PDF	No description Added	1-K. Budget Expenses / Supplemental Budgets
Test File - Excel	No description Added	7-E. Use of Enforcement Authority
Test File - PDF	No description Added	1-D. Communication with Industry
Test File - Word	No description Added	1-F. Access to Legal Assistance 1-K. Budget Expenses / Supplemental Budgets 7-C. Authority to Examine Mortgage Servicers 6-C. Examination Policy on Risk Scoping 3-D. Examination Manuals 1-C. Communication with Other Regulatory Agencies

‹ **1 – 10** of 15 ›

📁 **Review Team Documents**

File	Description
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq
	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada

Assign SEQ Review Sections (*Team Lead Only*)

1. To assign review team members to specific sections in the submitted SEQ, click 'Assign Sections'.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. In order to assign a review team member to a section of the SEQ, select the user under the heading for the specific section by typing their name and then choosing the correct user. You may only choose from users who have been designated as part of the team for this review.

Assign SEQ Sections

Section 1. Agency Administration and Finance
Rob Reviewer ✖

Section 2. Personnel and Training
Rita Reviewer ✖

Section 8. Credit Union - Examination
Rob Reviewer ✖

Section 9. Credit Union - Supervision Powers
Rita Reviewer ✖

Section 10. Credit Union - Legislative Powers
Rob Reviewer ✖

Section 11. Credit Union - Bonus Attributes
Rita Reviewer ✖

Section 12. MSB Examination Program
Rob Reviewer ✖

Section 13. MSB Supervision and Legislation
Rita Reviewer ✖

CANCEL   SUBMIT

Note: Assigning review team members to sections is optional, and is also only a suggestion. The user selected does not have to perform that review, and additionally, review team members can perform reviews on sections that they are not specifically assigned to.

3. Once all assignments have been made, click 'Submit'.

Assign SEQ Sections

Section 1. Agency Administration and Finance
Rob Reviewer ✖

Section 2. Personnel and Training
Rita Reviewer ✖

Section 8. Credit Union - Examination
Rob Reviewer ✖

Section 9. Credit Union - Supervision Powers
Rita Reviewer ✖

Section 10. Credit Union - Legislative Powers
Rob Reviewer ✖

Section 11. Credit Union - Bonus Attributes
Rita Reviewer ✖

Section 12. MSB Examination Program
Rob Reviewer ✖

Section 13. MSB Supervision and Legislation
Rita Reviewer ✖

CANCEL   SUBMIT

Provide Review Comments and Rating

1. To view the responses for individual SEQ topics and provide comments and rating(s), first click the sideways blue arrow next to the section that you are interested in.

2. Then click on the blue icon in the row for the topic that you want to view and comment on/rate.

3. After viewing the questions, responses and agency rating, as well as any associated documents, navigate to the bottom and select a rating value from the Rating field in the Individual Review & Comments section.

4. If you are rating a topic in section 1 or section 2 and this accreditation review applies for more than one accreditation type, you may choose to set different ratings per type. To do this, click 'Set Separately' and then choose unique values for each accreditation type.

5. If you want to add a comment to this topic, click 'Add Comment' below the grid in the Individual Review & Comments section.

process of meeting the stated goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

📂 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Rating Type ❓   Set All | Set Separately

Rating ❓ *   [--- Select a value --- ▾]

Credit Rating

MSB Rating

Comment	Added By	Actions ❓
Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum.	Rita Reviewer	✏Edit 🗑Delete
This looks very thorough.	Cathy CSBS	

➕ Add Comment

[CANCEL]   [SUBMIT]

6. Add your comment text and then click 'Add'.

📄 **Individual Review & Comments**

Rating Type ❓   Set All | Set Separately

Rating ❓ *   [--- Select a value --- ▾]

Credit Rating

MSB Rating

Comment	Added By
This looks very thorough.	Cathy CSBS

☐ **Add a New Comment to Topic**

New Comment *

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum.

Provide any individual comments regarding this topic. Other review team members will be able to view the comment. Character count: 534/1500

[BACK]   [ADD]

7. You may edit or delete your comments after they have been added.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Rating Type ❓   Set All | Set Separately

Rating ❓ *   [--- Select a value --- ▼]

Credit Rating

MSB Rating

Comment	Added By	Actions ❓
Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum.	Rita Reviewer	✏Edit 🗑Delete
This looks very thorough.	Cathy CSBS	
⊕ Add Comment		

[CANCEL]   [SUBMIT]

8. Once all ratings and comments are added as necessary, click 'Submit'. Comments are not required, but a rating is required for each accreditation type.

📄 **Individual Review & Comments**

Rating Type ❓   Set All | Set Separately

Credit Rating *   [2 - The agency meets the standard. ▼]

MSB Rating *   [1 - The agency does not meet the standard, with significant improvement needed. ▼]

Comment	Added By	Actions ❓
Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum.	Rita Reviewer	✏Edit 🗑Delete
This looks very thorough.	Cathy CSBS	
⊕ Add Comment		

[CANCEL]   [SUBMIT]

Review All Topics

1. To review all topics en masse after you have read the responses and made a rating decision, click 'Review All Topics'.

Kentucky Department of Financial Institutions

Summary   Exhibits   News   Related Actions

| Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | **Under Review** | Finalize Review | Report Submitted | Audit Complete | Closed |

Sections & Topics Overview

Section Name	Assignment / Individual Ratings	Individual Review Comments	
Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖨
Section 2. Personnel and Training	Rita Reviewer	No Comments	🖨
Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖨
Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖨
Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖨
Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖨
Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖨
Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖨

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. Select ratings for all topics in Section 1 by choosing from the dropdown in the 'Individual Rating' column. If there is more than one accreditation type for this particular review, you can set the ratings separately per type by clicking 'Set Separately'.

Individual Review

| Section 1 | Section 2 | Section 8 | Section 9 | Section 10 | Section 11 | Section 12 | Section 13 |

Section 1. Agency Administration and Finance

Topic Name	Topic Value	Agency Rating	Individual Rating Type	Individual Rating
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	Set All | Set Separately	
			Credit Union	2 - The agency meets the standard. ▼
			MSB	1 - The agency does not meet the standard, with significant imp... ▼
Topic 1-B. Internal Communication	5	2	Set All | Set Separately	2 - The agency meets the standard. ▼
Topic 1-C. Communication with Other Regulatory Agencies	5	Separate🛈	Set All | Set Separately	2 - The agency meets the standard. ▼
Topic 1-D. Communication with Industry	5	1	Set All | Set Separately	2 - The agency meets the standard. ▼
Topic 1-E. Consumer Education / Financial Literacy	4	3	Set All | Set Separately	
			Credit Union	1 - The agency does not meet the standard, with significant imp... ▼
			MSB	0 - The agency does not meet the standard, with major deficienc... ▼

3. To save the ratings for the current section and return to the summary page for this SEQ, click. 'Save and Exit' or to save the ratings for the current section and move on to rate the next section, click 'Save and Continue'.

Individual Review

Section 1. Agency Administration and Finance

Topic Name	Topic Value	Agency Rating	Individual Rating Type	Individual Rating
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	Set All | Set Separately	
			Credit Union	2 - The agency meets the standard.
			MSB	1 - The agency does not meet the standard, with significant imp...
Topic 1-B. Internal Communication	5	2	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-C. Communication with Other Regulatory Agencies	5	Separate❶	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-D. Communication with Industry	5	1	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-E. Consumer Education / Financial Literacy	4	3	Set All | Set Separately	
			Credit Union	1 - The agency does not meet the standard, with significant imp...
			MSB	0 - The agency does not meet the standard, with major deficienc...
Topic 1-F. Access to Legal Assistance	5	Separate❶	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-G. Agency Facilities	3	3	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-H. Business Continuity Plan	5	2	Set All | Set Separately	2 - The agency meets the standard.
Topic 1-I. Technology Infrastructure and Cybersecurity	16	Separate❶	Set All | Set Separately	1 - The agency does not meet the standard, with significant imp...
Topic 1-J. Budget Revenue Source / Contingency Plan	12	1	Set All | Set Separately	
			Credit Union	3 - The agency exceeds the standard to a notable extent.
			MSB	2 - The agency meets the standard.
Topic 1-K. Budget Expenses / Supplemental Budgets	12	3	Set All | Set Separately	2 - The agency meets the standard.

CANCEL   SAVE AND EXIT   SAVE AND CONTINUE

4. You can also navigate through the sections adhoc by clicking on the blue section number at the top.

Individual Review

Section 10. Credit Union - Legislative Powers

Topic Name	Topic Value	Agency Rating	Rating
Topic 10-A. Revising Laws, Department Duties and Responsibilities	10	2	--- Select a value ---
Topic 10-B. Enforcement Authority	15	2	--- Select a value ---
Topic 10-C. Involvement in Legislative Powers	10	3	--- Select a value ---

CANCEL   BACK TO PREVIOUS   SAVE AND EXIT   SAVE AND CONTINUE

5. Clicking on the blue topic name will open a read-only view of the questions and responses for that topic in another tab, so that you can reference it while you make your ratings.

Individual Review

Section 9. Credit Union - Supervision Powers

Topic Name	Topic Value	Agency Rating	Rating
Topic 9-A. Surveillance System	20	2	--- Select a value ---
Topic 9-B. Follow-Up	15	0	--- Select a value ---
Topic 9-C. Enforcement Authority Use	15	2	--- Select a value ---

Finalize Review

1. Move the review forward after individual comments and ratings have been added, click 'Finalize Review'.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. Click 'Submit'on the confirmation page.

3. Click 'Close' on the confirmation page.

Team Review of SEQ Topics

1. To perform a team-level review of the accreditation SEQ, click 'Team Review' underneath the agency name header.

76

2. This will direct you to a topic-by-topic level listing on the team ratings for this SEQ review. To add or update the team level ratings and comments, click 'Team Review'.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

Note: This is the official team review action. To perform individual review, navigate to the **Summary** tab underneath the agency name header for the 'Review All Tasks' action.

3. Select ratings for all topics in Section 1 by choosing from the dropdown in the 'Team Rating' column. If there is more than one accreditation type for this particular review, you can set the ratings separately per type by clicking 'Set Separately'. Add team comments as needed to supplement the ratings for each topic.

4. To save the ratings for the current section and return to the summary page for this SEQ, click. 'Save and Exit' or to save the ratings for the current section and move on to rate the next section, click 'Save and Continue'.

Team Review

| Section 1 | Section 2 | Section 8 | Section 9 | Section 10 | Section 11 | Section 12 | Section 13 |

NOTE: This is the official team review action. To go to Individual review, navigate to the Summary tab for the "Review All Tasks" action.

Section 9. Credit Union - Supervision Powers

Topic Name	Topic Value	Agency Rating	Team Review	Team Comments
Topic 9-A. Surveillance System	20	2	2	
Topic 9-B. Follow-Up	15	0	1	
Topic 9-C. Enforcement Authority Use	15	2	2	
Topic 9-D. Corporate Governance	5	1	1	
Topic 9-E. Promulgation of Rules and Regulations	5	3	2	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do

CANCEL   BACK TO PREVIOUS   SAVE AND EXIT   SAVE AND CONTINUE

5. You can also navigate through the sections adhoc by clicking on the blue section number at the top.

Team Review

| Section 1 | Section 2 | Section 8 | Section 9 | Section 10 | Section 11 | Section 12 | Section 13 |

NOTE: This is the official team review action. To go to Individual review, navigate to the Summary tab for the "Review All Tasks" action.

Section 10. Credit Union - Legislative Powers

Topic Name	Topic Value	Agency Rating	Team Review	Team Comments
Topic 10-A. Revising Laws, Department Duties and Responsibilities	10	2	2	
Topic 10-B. Enforcement Authority	15	2	3	
Topic 10-C. Involvement in Legislative Powers	10	3	3	

CANCEL   BACK TO PREVIOUS   SAVE AND EXIT   SAVE AND CONTINUE

6. Clicking on the blue topic name will open a read-only view of the questions and responses for that topic in another tab, so that you can reference it while you make your ratings.

Team Review

| Section 1 | Section 2 | Section 8 | Section 9 | Section 10 | Section 11 | Section 12 | Section 13 |

NOTE: This is the official team review action. To go to Individual review, navigate to the Summary tab for the "Review All Tasks" action.

Section 10. Credit Union - Legislative Powers

Topic Name	Topic Value	Agency Rating	Team Review	Team Comments
Topic 10-A. Revising Laws, Department Duties and Responsibilities	10	2	2	
Topic 10-B. Enforcement Authority	15	2	3	

View and Print Calculated Scoresheet

1. To view the agency score and team score as compared to the passing score and maximum score for each accreditation type in an SEQ review, click 'Scoresheet' underneath the agency name header.

2. This will direct you to a topic-by-topic level listing on the team and agency ratings, and the calculated corresponding scores. At the top there is a summary for each accreditation type with the summed scores and their comparison to the passing and total scores, as appropriate.

3. If this SEQ review has more than one associated accreditation type, you can switch between viewing score summaries for the different types by clicking on any of the grey colored boxes at the top of the page. For instance, clicking anywhere within the area outlined in red below will switch the view to show only MSB ratings and scores for this SEQ review.

4. In order to view a printable version of *all* ratings and scores for *all* accreditation types (if more than one is applicable), click 'View All Scores'.

📄 **Scoresheet**

🖨 View All Scores

Accreditation Type Selection

☐ Credit Union		☐ MSB	
843 Agency Score	**959** Team Score	**1177** Agency Score	**1265** Team Score
Passing Score: 851	Max Score: 1641	Passing Score: 1056	Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10

5. You can now use your browser's print function to print a copy of all relevant data for this SEQ review. When you are finished printing you can return to the summary scoresheet page by clicking 'Selection View'.

📄 **Scoresheet**

🔄 Selection View

✉ EXPORT

SEQ Score Overview	Credit Union Score	MSB Score
Agency Totals	843	1177
Review Team Totals	959	1265
Passing Score	851	1056
Max Score	1641	1920

☐ **Credit Union Scores**

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10
Topic 1-E. Consumer Education / Financial Literacy	4	3	12	3	12
Topic 1-F. Access to Legal Assistance	5	0	0	1	5
Topic 1-G. Agency Facilities	3	3	9	3	9
Topic 1-H. Business Continuity Plan	5	2	10	2	10
Topic 1-I. Technology Infrastructure and Cybersecurity	16	1	16	2	32
Topic 1-J. Budget Revenue Source / Contingency Plan	12	1	12	1	12
Topic 1-K. Budget Expenses / Supplemental Budgets	12	3	36	2	24
Section 1 Total (Max Score: 240 Passing Score: 120)		**20**	**136**	**23**	**155**

Section 2. Personnel and Training	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 2-A. Personnel Manual	5	1	5	1	5
Topic 2-B. Job Descriptions	5	0	0	1	5
Topic 2-C. Hiring Policies	5	3	15	2	10
Topic 2-D. Promotional Opportunities / Pay for Performance	5	2	10	2	10
Topic 2-E. Performance Appraisal Process	5	2	10	2	10

Provide Recommendations/Suggestions/Accolades

1. To view the findings for a SEQ review, click 'Findings' underneath the agency name header.

2. In order to add or update recommendations related to this accreditation SEQ, click 'Manage Recommendations'.

3. All of the topics with a rating of 1 or 0 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

4. To add a new recommendation, click 'Add Recommendation'.

5. Choose a topic for this recommendation to relate to, and then choose the corresponding accreditation type and enter the text of your recommendation. Once you have filled in all the fields, click 'Add'.

Add a New Recommendation

Topic Selection

8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments ✕

Accreditation Type

Credit Union

Recommendation *

Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget.

Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod.

Character count: 1378/1500

[BACK]   [ADD]

6. You can edit or delete an existing recommendation by selecting either action in the corresponding row of a previously-added recommendation.

Recommendations

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

7. Once all recommendations have been added, click 'Done' to go back to the view of all findings.

Recommendations

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

[DONE]

8. In order to add or update suggestions related to this accreditation SEQ, click 'Manage Suggestions'.

Suggestions

[✏ Manage Suggestions]

Topic	Suggestion	Accreditation Type
	No Suggestions Added	

9. To add a new suggestion, click 'Add Suggestion'.

Manage Suggestions

📄 **Suggestions**

Topic	Suggestion	Accreditation Type	Actions
	No Suggestions Added		

➕ Add Suggestion

10. Choose a topic for this suggestion to relate to, and then choose the corresponding accreditation type and enter the text of your suggestion. Once you have filled in all the fields, click 'Add'.

🗌 **Add a New Suggestion**

Topic Selection   **Accreditation Type**

8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions ✖   Credit Union ▼

NOTE: For suggestions, only topics that have received a team rating of '2' will be available to be selected

Suggestion *

Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Character count: 1252/1500

BACK   ADD

Note: For suggestions, only topics that have received a team rating of '2' will be available to be selected

11. You can edit or delete an existing suggestion by selecting either action in the corresponding row of a previously-added suggestion.

📄 **Suggestions**

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam.	Credit Union	✏Edit 🗑Delete

➕ Add Suggestion

12. Once all suggestions have been added, click 'Done' to go back to the view of all findings.

Manage Suggestions

📄 **Suggestions**

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam.	Credit Union	✏ Edit 🗑 Delete

➕ Add Suggestion

DONE

13. In order to add or update accolades related to this accreditation SEQ, click 'Manage Accolades'.

≡ **Accolades**   ✏ Manage Accolades

Topic	Accolade	Accreditation Type
	No Accolades Added	

14. All of the topics with a rating of 3 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

Manage Accolades

⭐ **Topics with a '3' Team Rating**

Topic Name	Accreditation Type	Review Team Comments
1-C. Communication with Other Regulatory Agencies	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
1-E. Consumer Education / Financial Literacy	MSB	
1-E. Consumer Education / Financial Literacy	Credit Union	
1-G. Agency Facilities	MSB	
1-G. Agency Facilities	Credit Union	
2-C. Hiring Policies	MSB	
2-I. Training Manual and On-the-Job Training	MSB	
2-I. Training Manual and On-the-Job Training	Credit Union	
8-C-8. Scope of Examination Capabilities: Ability to Examine Credit Union Off Balance Sheet Items	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
8-E. Planning Individual Safety and Soundness Exams	Credit Union	

‹ **1 – 10** of 15 ›

15. To add a new accolade, click 'Add Accolade'.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
	No Accolades Added		

➕ Add Accolade

16. Choose a topic for this accolade to relate to, and then choose the corresponding accreditation type and enter the text of your accolade. Once you have filled in all the fields, click 'Add'.

□ **Add a New Accolade**

Topic Selection   **Accreditation Type**

8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually ✕   Credit Union   ▾

Accolade *

Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing

Character count: 1078/1500

[BACK]   [ADD]

17. You can edit or delete an existing accolade by selecting either action in the corresponding row of a previously-added accolade.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt vitae semper quis lectus nulla. Sollicitudin tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✏ Edit 🗑 Delete

➕ Add Accolade

18. Once all accolades have been added, click 'Done' to go back to the view of all findings.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt vitae semper quis lectus nulla. Sollicitudin tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✏ Edit 🗑 Delete

➕ Add Accolade

[DONE]

Generate Review Report

1. To generate a PDF version of the review report document for an accreditation SEQ, click 'Related Actions'.

2. Then click 'Generate Review Report'.

3. Click 'Close' on the confirmation page.

4. Wait for the document to be emailed to you from sender 'AOS Generate Review Document'.

Records Page

This page allows users to view all of the details about individual 5-year accreditation reviews for the agencies present in the system – past and present. This tab shows both active and past records, and it is a running list of all SEQ reviews that a review team member has been assigned. Review team members will not see any records they were not assigned.

Search and Filter

1. To search for a specific accreditation review, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

2. To filter by review date or review status, click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

3. After locating the correct record, clicking on the name of the organization will direct the user to the individual record for that specific accreditation review.

Reports Page

This page allows users to view aggregate data about accreditation reviews that are in the system. There are multiple different types of reports available, which are all designed to roll up the data in different meaningful ways.

Review Comments Report

1. To view an aggregation of the comments for each accreditation review, click on 'Review Comments'.

2. To search for a specific comment set, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

3. To filter by review date or review status, first click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

4. After locating the correct record, clicking on organization name will direct the user to the topic-by-topic comments for that specific accreditation review.

5. To hide columns that aren't relevant, or restore columns that were previously hidden, flirst click '+ Show Columns' below the grid and then after the column selection dropdown appears, select and de-select columns as needed, and the changes will be effective immediately in the grid.

Note: Even if no columns are selected in the dropdown, the Topic Name column will still appear as default.

6. To filter by section, topic, or commenter, first click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

Review Record List / Review Comments

✏ **Review Team Comments**   - HIDE FILTERS

Filters

Topic Number   **Section**

[   ]   [1. Agency Administration and Finance   ▼]

Commenter

[Cathy CSBS   ▼]

↺ RESET   **SEARCH**

Select a Comment to Drill Into the Associated Topic

Topic Name	Comment	Commented By	
1-A. Mission Statement, Strategic Plan and Organizational Chart	This looks very thorough.	Cathy CSBS	🔍

+ Show Columns

7. After locating the correct topic and comment, clicking on topic name will direct the user to a view-only version of the questions and answers for that topic, as well as all of the associated comments.

Agency MSB Rating   2 - The agency meets the standard.

📂 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

ℹ **1A. Individual Review**

Individual Credit Union Rating

Individual MSB Rating

Comment	Added By
This looks very thorough.	Cathy CSBS

8. To navigate back to topic-by-topic comments for the originally selected accreditation review, click 'Review Comments'.

Review Record List / **Review Comments** / Topic Details

ℹ **1A. Introduction**

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2.

+ SHOW PROFILE INFORMATION

✏ **1A. Questions**

1. The agency has a strategic plan.
Yes

2. The agency has a mission statement.
Yes

2.1. If yes, please include mission statement below.

3. The strategic plan has been reviewed in the past 12 months.
Yes

9. To view all of the individual and team ratings for the topics that have been commented upon, click on the magnifying glass icon in the corresponding row.

Review Record List / Review Comments

✏ **Review Team Comments**

+ SHOW FILTERS

Select a Comment to Drill Into the Associated Topic

Topic Name	Comment	Commented By	
1-A. Mission Statement, Strategic Plan and Organizational Chart	This looks very thorough.	Cathy CSBS	🔍

+ Show Columns

10. Once you are finished viewing the ratings, click 'Review Comments' to navigate back to topic-by-topic comments for the originally selected accreditation review.

Review Record List / Review Comments / Rating Details

≣ **1A Ratings**

Team Ratings ⌄
Team Credit Union Rating
Team MSB Rating

Rob Reviewer's Ratings ⌄
Individual Credit Union Rating — 2 - The agency meets the standard.
Individual MSB Rating — 2 - The agency meets the standard.

Team Comments ⌄
Team Credit Union Comments
Team MSB Comments

Agency Staff

Home Page

The sections of the home page are described in more detail below. Note that some sections will only appear to agency POC users and not to agency staff users. In order to view the agency's Profile in a new browser tab, you can click 'View Agency Profile' at any time.

Resources

For your convience, resources for all agencies (added by CSBS internal staff users) are linked on the dashboard for quick reference and access.

Agency Resources

- **User Guides**
  - SEQ Instructions
  - Accreditation Handbook for State Agencies - Final 10.2.19
- **Templates**
  - SEQ - Bank_Mortgage_Credit Union_v 1 4 - offline 092319
- **Instructions**
  - SEQ Introduction Text
- **User Guide 1**
  - A testing Artifact2 - Copy (7)

Announcements

All active announcements for agencies in the system (added by CSBS internal staff users) are shown at the top of the home page.

Announcements
- Announcement 2
- Welcome agency users!

Historical SEQ Records

All completed SEQs are available for viewing from a grid at the bottom of the home page. To navigate to a 5-year SEQ record for a specific accreditation type and a specific year, click the blue 'Accreditation Type' link in the corresponding row.

Completed Records for My Agency

Accreditation Type	Submitted Date	On-Site Review Date	Final Report(s) Download
		No items available	

Administrative Actions *(POC Only)*

The administrative action(s) available to the agency POC users are available on the home page.

Actions

- 👥 Create or Update AOS Users
- 📇 View Agency Profile

Manage AOS Users

1. Click the 'Create or Update AOS Users' action.

2. This action directs you to a view of all AOS users for the appropriate agency, with the ability to create new users or update/delete existing users.

3. To create a new user, select 'Create User' in the top right of the above screen. Then enter a valid email address for the new user, and select 'Continue'.

4. Fill in values for all applicable fields, and click 'Submit'

5. To search for a specific user, enter their first or last name into the search bar above the grid and then click 'Search'.

6. To filter by role, click '+ Show Filters' and then after the filter section expands, select a value (or values) from the filter fields, and click 'Search'.

7. To update an existing user, click the pencil icon in the corresponding row.

8. Make any necessary updates to the chosen user and then click 'Submit'.

9. To deactivate an existing user, click the red X icon in the corresponding row, and then click 'Submit' on the confirmation page that appears.

Open SEQ Records

The main informative and transactional section of the home page is the grid of all open and active review records for the appropriate agency. This listing references each 5-year accreditation SEQ that has been scheduled but not yet completed. There are various actions that are available for each record, based upon its status. Clicking on the accreditation type will direct you to the record for that specific accreditation SEQ, from which there are many actions available and the SEQ itself can be filled out and completed

Open Review Records for My Agency			
Accreditation Type	Status	Onsite Review Date ↑	SEQ Due Date
CU, MSB	Sent to Agency	10/28/2019	9/13/2019

Five-Year SEQ Record

1. To navigate to a 5-year SEQ Record for a specific accreditation type, click the blue 'Accreditation Type' link in the corresponding row. From this page you can fill out all questions in the SEQ and provide ratings and any associated documents.

Individual Five-Year SEQ Record

This view of one specific 5-year accreditation type allows users to view and print the SEQ responses that they have entered, as well as record responses to the questions in each section and topic. This record also contains the agency scoresheet after it has been submitted and reviewed, as well as any associated documents for the SEQ. Finally, the actions associated with advancing the process of the SEQ toward completion are found here.

View and Print SEQ Responses

1. To print the questions and responses for any given section of the SEQ, click the printer icon on the corresponding row. You can perform this action whether or not any agency user has responded to any of the questions or completed any of the topics.

2. Once you are looking at the read-only version of the section, use the print feature on your browser to print out the entire contents of the page. If you want to view and/or print information from the agency's Profile online system, click '+ Show Profile Information'. This will open a section and display any relevant data, as well as a link to open the Profile page itself in another browser tab. Not all agencies will have Profile data to display in this section.

Assign SEQ Topics *(POC Only)*

1. To assign agency users to specific topics or sections in the SEQ, click 'Assign SEQ Topics'.

Note: This action can also be completed by selecting the **Related Actions** tab underneath the agency name header.

2. In order to assign one user to an entire section of the SEQ, choose the user under the heading for the specific section. This will auto-fill the chosen user into all topics within that section.

3. In order to assign one user to a single topic, choose the user under the heading for the specific topic. You can perform this action whether or not the user was auto-filled from section-level assignment.

Section 9. Credit Union - Supervision Powers

Section Assignment Tool: Set an assignee for all section topics by entering the user in this field:	*--- Select user to set for all topics ---*
Topic 9-A. Surveillance System	Karly Smith ✖
Topic 9-B. Follow-Up	*--- Type and select user ---*
Topic 9-C. Enforcement Authority Use	*--- Type and select user ---*
Topic 9-D. Corporate Governance	Kendra Kentucky ✖
Topic 9-E. Promulgation of Rules and Regulations	*--- Type and select user ---*

Section 10. Credit Union - Legislative Powers

Section Assignment Tool: Set an assignee for all section topics by entering the user in this field:	Karly Smith ✖
Topic 10-A. Revising Laws, Department Duties and Responsibilities	Karly Smith ✖
Topic 10-B. Enforcement Authority	Karly Smith ✖
Topic 10-C. Involvement in Legislative Powers	Karly Smith ✖

4. Once all assignments have been made, click 'Submit'.

Topic 12-K. Follow-up Correction of Problems	*--- Type and select user ---*

Section 13. MSB Supervision and Legislation

Section Assignment Tool: Set an assignee for all section topics by entering the user in this field:	Kendra Kentucky ✖
Topic 13-A. Complaint Resolution System	Kendra Kentucky ✖
Topic 13-B. Licensing/Renewal Process	Kendra Kentucky ✖
Topic 13-C. Off-Site Monitoring Program	Karly Smith ✖
Topic 13-D. Enforcement Authority	Kendra Kentucky ✖
Topic 13-E. Ability to Investigate	Kendra Kentucky ✖
Topic 13-F. Frequency of Code Review / Revision	Kendra Kentucky ✖
Topic 13-G. Involvement in State Legislative Process	Kendra Kentucky ✖

CANCEL   SUBMIT

Note: Assignments are not required for each section/topic. And assigning a user to a section/topic is purely a suggestion, as they are not required to fill out the SEQ for their assignments.

Complete SEQ Topics

1. To fill out SEQ responses and complete a topic, first select the sideways arrow in the left-most column for the corresponding section, then select the pencil icon in the left-most column for the chosen topic.

Kentucky Department of Financial Institutions

Summary   Agency Scoresheet   SEQ Documents   News   Related Actions

☰ Sections & Topics Overview

Due Date: 9/13/2019

SEQ Overall Progress ❓

0%

Section Name	Assignee	Modified By	Modified On	Status	
⌄ **Section 1. Agency Administration and Finance**				○ 0/11 Completed	🖨
✎ Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart				○ Incomplete	
✎ Topic 1-B. Internal Communication				○ Incomplete	
✎ Topic 1-C. Communication with Other Regulatory Agencies				○ Incomplete	
✎ Topic 1-D. Communication with Industry				○ Incomplete	
✎ Topic 1-E. Consumer Education / Financial Literacy				○ Incomplete	
✎ Topic 1-F. Access to Legal Assistance				○ Incomplete	
✎ Topic 1-G. Agency Facilities				○ Incomplete	

2. Respond to all required questions (marked with an asterisk) for the topic.

☑ 1A. Questions

1. The agency has a strategic plan. *

Yes ▼

2. The agency has a mission statement. *

Yes ▼

2.1. If yes, please include mission statement below.

[   ]

Character count: 0/1000

3. The strategic plan has been reviewed in the past 12 months. *

Yes ▼

3.1. Date the strategic plan was updated:

mm/dd/yyyy

4. The following are involved in developing the agency's strategic plan: *

Senior Management, Banking Board or Council ▼

Select all that apply

5. The final strategic plan is communicated to the agency's employees via: *

Email, Website ▼

Select all that apply

6. Assignments are made for completion of strategic actions. *

Yes ▼

7. Timeframes are established for completion of the strategic actions. *

Yes ▼

8. The goals of the strategic plan have been met in the timeframes anticipated. *

Yes ▼

9. Please explain how progress on the strategic plan is monitored *

penatibus et magnis dis parturient montes nascetur ridiculus. Ut lectus arcu bibendum at varius vel pharetra.

Character count: 708/1500

10. A succession plan has been adopted. *

Yes ▼

11. If the commissioner were to become incapacitated, his/her duties would be assumed by: *

12. The agency has an up-to-date organizational chart showing direct lines of responsibility. *

3. Toward the bottom of the page, select a rating for each accreditation type, separately, if applicable, by clicking 'Set Separately'. Or you may choose to set all types to the same rating by leaving the default 'Set All' selected.

☑ 1A. Standards & Ratings

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Rating Type ❓   Set All | Set Separately

Rating ❓ *   2 - The agency meets the standard. ▼

Credit Rating   2 - The agency meets the standard.

MSB Rating   2 - The agency meets the standard.

4. To manage documents for this particular topic, select 'Manage Documents' below the 'Topic Documents' grid near the bottom of the page.

5. Select 'Upload New Document' below the grid.

6. Fill in all required fields. If you want to associate additional topics to this current document (to minimize redundant or duplicate document entries), select '+ Associate Additional Topics to Document' and choose the additional topic(s) and then click 'Close' in that small section. Finally, select 'Add Document'.

7. Once you are finished with edits to this topic, click 'Save' to save all responses without completing the topic. This action will navigate you back to the main landing page for this particular SEQ.

8. Once the topic has been completed and you wish to finish editing it and move on to the next topic, click 'Complete'

Note: You may still come back to edit a topic that has been completed.

9. After completing a topic, the overall progress bar will change to reflect the amount of the SEQ that has been completed, and the number of topics completed in that particular section will increase. Additionally, the status of the SEQ will change to 'Pending Agency Submission'.

Manage SEQ Documents

1. To edit or delete the documents for a particular SEQ, first click 'Related Actions'.

2. Click 'Manage SEQ Documents' from the list of actions for this SEQ.

3. Select the section that corresponds with the document you wish to edit or delete.

Manage SEQ Documents

Manage documents at the SEQ level. To add or manage individual topic links, navigate to the topic of the SEQ and manage attachments in that context.

🗐 **SEQ Documents**

SEQ Section Selection

General	1. Agency Administration and Finance	2. Personnel and Training
Credit Union	8. Credit Union - Examination	9. Credit Union - Supervision Powers	10. Credit Union - Legislative Powers	11. Credit Union - Bonus Attributes
MSB	12. MSB Examination Program	13. MSB Supervision and Legislation

CLOSE

4. To download any of the documents in the chosen section, click the blue document name link in the corresponding row of the grid.

Manage SEQ Documents

Manage documents at the SEQ level. To add or manage individual topic links, navigate to the topic of the SEQ and manage attachments in that context.

🗐 **SEQ Documents**

SEQ Section Selection

General	**1. Agency Administration and Finance**	2. Personnel and Training
Credit Union	8. Credit Union - Examination	9. Credit Union - Supervision Powers	10. Credit Union - Legislative Powers	11. Credit Union - Bonus Attributes
MSB	12. MSB Examination Program	13. MSB Supervision and Legislation

🗐 **Section 1 Documents**

File	Description	Associated Topics	Actions
SEQ Template	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart	✏ Edit 🗑 Delete

CLOSE

5. To edit any of the documents in the chosen section, click the 'Edit' link in the corresponding row of the grid.

Manage SEQ Documents

Manage documents at the SEQ level. To add or manage individual topic links, navigate to the topic of the SEQ and manage attachments in that context.

🗐 **SEQ Documents**

SEQ Section Selection

General	**1. Agency Administration and Finance**	2. Personnel and Training
Credit Union	8. Credit Union - Examination	9. Credit Union - Supervision Powers	10. Credit Union - Legislative Powers	11. Credit Union - Bonus Attributes
MSB	12. MSB Examination Program	13. MSB Supervision and Legislation

🗐 **Section 1 Documents**

File	Description	Associated Topics	Actions
SEQ Template	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart	✏ Edit 🗑 Delete

CLOSE

6. Update the fields and/or document uploaded as needed and then click 'Update Document'.

7. To delete any of the documents in the chosen section, click the 'Delete' link in the corresponding row of the grid, and then click 'Yes' on the confirmation popup.

Submit SEQ *(POC Only)*
1. After completing all of the topics in all of the sections, the progress bar will show 100% completion. At this point, the user may click 'Submit SEQ'.

Note: This action can also be completed by selecting the Related Actions tab underneath the agency name header.

2. Click 'Submit' on the confirmation page that appears. Only perform this action if you are completely finished with all final responses to the SEQ.

3. Click 'Close' on the submission confirmation page.

View and Print Calculated Scoresheet

1. To view the agency score as compared to the passing score and maximum score for each accreditation type in an SEQ review, click 'Agency Scoresheet' underneath the agency name header.

2. This will direct you to a topic-by-topic level listing of the agency ratings, and the calculated corresponding scores. At the top there is a summary for each accreditation type with the summed scores and their comparison to the passing and total scores, as appropriate.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection	
▦ **Credit Union**	◉ **MSB**
843 Agency Score	**1177** Agency Score
Passing Score: 851 Max Score: 1641	Passing Score: 1056 Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Credit Union Rating	Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16
Topic 1-B. Internal Communication	5	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10
Topic 1-D. Communication with Industry	5	1	5

3. If this SEQ review has more than one associated accreditation type, you can switch between viewing score summaries for the different types by clicking on any of the grey colored boxes at the top of the page. For instance, clicking anywhere within the area outlined in red below will switch the view to show only MSB ratings and scores for this SEQ review.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection	
▦ **Credit Union**	◉ **MSB**
843 Agency Score	**1177** Agency Score
Passing Score: 851 Max Score: 1641	Passing Score: 1056 Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Credit Union Rating	Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16
Topic 1-B. Internal Communication	5	2	10

4. In order to view a printable version of *all* ratings and scores for *all* accreditation types (if more than one is applicable), click 'View All Scores'.

📄 **Scoresheet**   🖨 View All Scores

Accreditation Type Selection	
▦ **Credit Union**	◉ **MSB**
843 Agency Score	**1177** Agency Score
Passing Score: 851 Max Score: 1641	Passing Score: 1056 Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Credit Union Rating	Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16
Topic 1-B. Internal Communication	5	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10

5. You can now use your browser's print function to print a copy of all relevant data for this SEQ review. When you are finished printing you can return to the summary scoresheet page by clicking 'Selection View'.

📄 Scoresheet

↻ Selection View

✉ EXPORT

SEQ Score Overview	Credit Union Score	MSB Score
Agency Totals	843	1177
Review Team Totals	959	1265
Passing Score	851	1056
Max Score	1641	1920

▦ Credit Union Scores

Section 1. Agency Administration and Finance	Topic Value	Credit Union Rating	Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16
Topic 1-B. Internal Communication	5	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10
Topic 1-D. Communication with Industry	5	1	5
Topic 1-E. Consumer Education / Financial Literacy	4	3	12

Records Page

This page allows users to view all of the details about individual 5-year accreditation reviews for their agency – past and present. It is a running list of all SEQ reviews that have been performed or are in-progress for this agency.

Facilitator
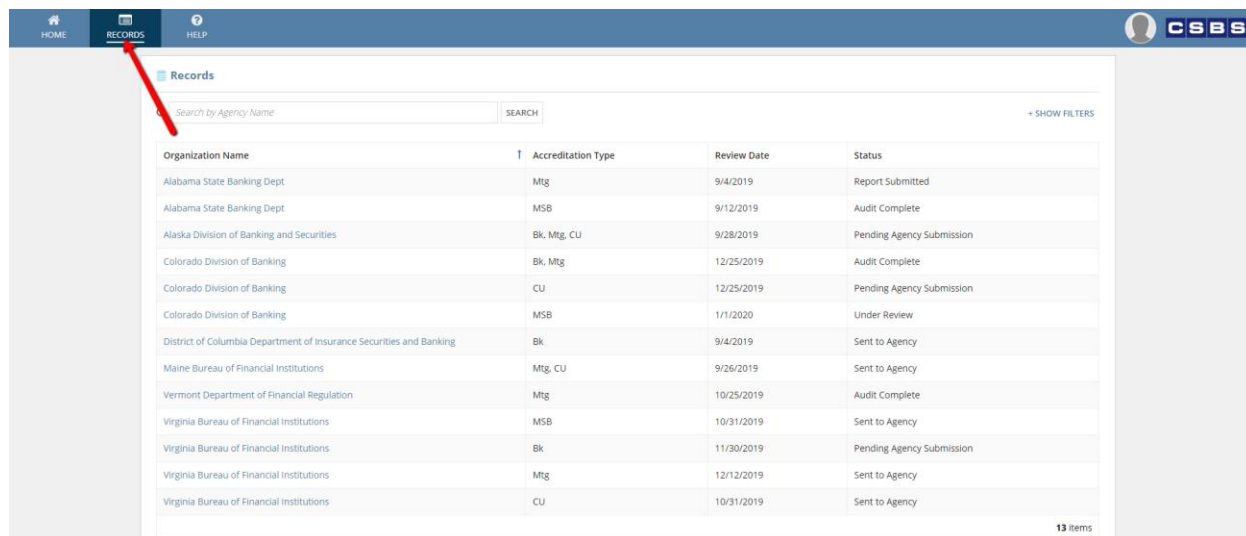
Home Page

The main informative and transactional section of the home page is the grid of all open review records for an individual user. A user will only see review records for which they are a member of the review team, as specified by a member of the CSBS internal staff. There may be no open records, if the user is not currently in the reviewer role for any records. To learn more about the reviewer functionality, see here.

Records Page
This page allows users to view all of the details about individual 5-year accreditation reviews for the agencies present in the system – past and present. This tab shows both active and past records, and it is a running list of all SEQ reviews that you have been associated with in the system.
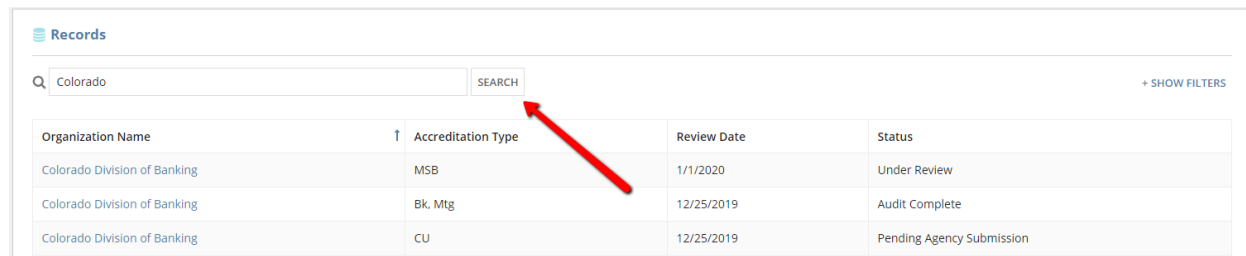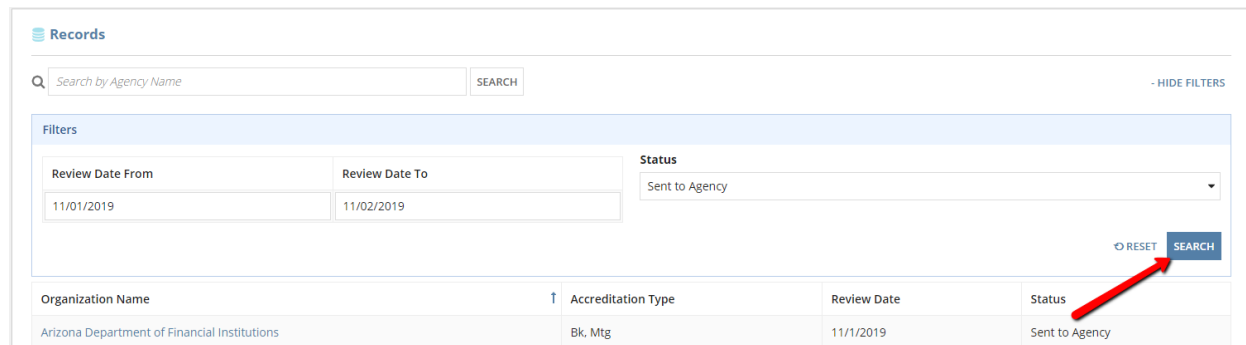

Search and Filter
1. To search for a specific accreditation review, enter part or all of the agency name into the search bar above the grid and then click 'Search'.

2. To filter by review date or review status, click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.

3. After locating the correct record, clicking on the name of the organization will direct the user to the individual record for that specific accreditation review.

Individual Review Record

This view of one specific 5-year accreditation review allows users to view and print the SEQ responses that the agency users have entered. This record also contains the agency ratings and review team scores, as well as any associated documents for the SEQ.

View and Print SEQ Responses

1. To print the questions and responses for any given section of the SEQ, click the printer icon on the corresponding row. You can perform this action whether or not the agency has responded to any of the questions or completed any of the topics.

Kentucky Department of Financial Institutions

Summary | Agency Scoresheet | SEQ Documents | News | Related Actions

☰ Sections & Topics Overview   Due Date: 9/13/2019

SEQ Overall Progress ❓
0%

	Section Name	Assignee	Modified By	Modified On	Status	
❯	Section 1. Agency Administration and Finance				⚪ 0/11 Completed	🖨
❯	Section 2. Personnel and Training				⚪ 0/12 Completed	🖨
❯	Section 8. Credit Union - Examination				⚪ 0/19 Completed	🖨
❯	Section 9. Credit Union - Supervision Powers				⚪ 0/5 Completed	🖨
❯	Section 10. Credit Union - Legislative Powers				⚪ 0/3 Completed	🖨
❯	Section 11. Credit Union - Bonus Attributes				⚪ 0/1 Completed	🖨
❯	Section 12. MSB Examination Program				⚪ 0/11 Completed	🖨
❯	Section 13. MSB Supervision and Legislation				⚪ 0/7 Completed	🖨

2. Once you are looking at the read-only version of the section, use the print feature on your browser to print out the entire contents of the page. If you want to view and/or print information from the agency's Profile online system, click '+ Show Profile Information'. This will open a section and display any relevant data, as well as a link to open the Profile page itself in another browser tab. Not all agencies will have Profile data to display in this section.

Kentucky Department of Financial Institutions

Summary | Agency Scoresheet | SEQ Documents | News | Related Actions

SEQ Overview / 1. Agency Administration and Finance

ⓘ 1A. Introduction

Strategic planning is an important tool for the agency as it provides organizational direction. The agency's day-to-day decisions can be better guided and the agency's progress can be better measured through the strategic planning process. In this topic, the agency will provide information about its mission statement and strategic planning process, as well as the organizational chart and governance of the agency. It should be noted that job descriptions will be discussed in Section 2.

+ SHOW PROFILE INFORMATION

✎ 1A. Questions

1. The agency has a strategic plan.	2. The agency has a mission statement.	3. The strategic plan has been reviewed in the past 12 months.
		3.1. Date the strategic plan was updated:
4. The following are involved in developing the agency's strategic plan:	5. The final strategic plan is communicated to the agency's employees via:	6. Assignments are made for completion of strategic actions.
7. Timeframes are established for completion of the strategic actions.	8. The goals of the strategic plan have been met in the timeframes anticipated.	9. Please explain how progress on the strategic plan is monitored
10. A succession plan has been adopted.	11. If the commissioner were to become incapacitated, his/her duties would be assumed by:	12. The agency has an up-to-date organizational chart showing direct lines of responsibility.
13. The agency reports to a board, advisory council, or similar.	14. Current job descriptions correspond to the employee positions shown on the organizational chart.	15. Briefly describe the operational units of the agency (i.e. banking, mortgage, credit union, securities) and their primary responsibilities.

☑ 1A. Standards & Ratings

Please provide any other comments related to the questions above.

View and Download SEQ Exhibits

1. To view and download all of the documents associated with an accreditation SEQ record, click 'Exhibits' once the review is in the Submitted by Agency status, or at any point after that status.

Kentucky Department of Financial Institutions

ASSIGN SECTIONS | SUBMIT REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | News | Related Actions

Scheduling | Sent to Agency | Pending Agency Submission | Submitted by Agency | Under Review | **Finalize Review** | Report Submitted | Audit Complete | Closed

▤ **Sections & Topics Overview**

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
›	Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖶
›	Section 2. Personnel and Training	Rita Reviewer	No Comments	🖶
›	Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖶
›	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖶
›	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖶
›	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖶
›	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖶
›	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖶

2. Any document added by the agency users or by the CSBS internal staff is available for download by clicking on the document name. The topics that each document is associated with are shown in the corresponding rows (for SEQ documents only).

📂 **SEQ Documents**

File	Description	Associated Topics
Test File - Word	No description Added	3-A. Examination Frequency Policy/Ability to Meet Policy
Test File - PDF	No description Added	2-B. Job Descriptions
Test File - Word	No description Added	1-A. Mission Statement, Strategic Plan and Organizational Chart
Test File - Word	No description Added	1-I. Technology Infrastructure and Cybersecurity
Test File - Excel	No description Added	1-J. Budget Revenue Source / Contingency Plan
Test File - Word	No description Added	1-E. Consumer Education / Financial Literacy
Test File - PDF	No description Added	1-K. Budget Expenses / Supplemental Budgets
Test File - Excel	No description Added	7-E. Use of Enforcement Authority
Test File - PDF	No description Added	1-D. Communication with Industry
Test File - Word	No description Added	1-F. Access to Legal Assistance 1-K. Budget Expenses / Supplemental Budgets 7-C. Authority to Examine Mortgage Servicers 6-C. Examination Policy on Risk Scoping 3-D. Examination Manuals 1-C. Communication with Other Regulatory Agencies

‹ **1 – 10** of 15 ›

📂 **Review Team Documents**

File	Description
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq
	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada

Provide Review Comments

1. To view the responses for individual SEQ topics and provide comments, first click the sideways blue arrow next to the section that you are interested in.

112

2. Then click on the blue icon in the row for the topic that you want to view and comment on.

3. After viewing the questions and responses, and the associated documents, navigate to the bottom and click 'Add Comment' below the grid in the Individual Review & Comments section.

Please provide any other comments related to the questions above.

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Odio ut enim blandit volutpat maecenas volutpat. Phasellus egestas tellus rutrum tellus pellentesque eu tincidunt. Tempor orci eu lobortis elementum nibh tellus molestie nunc. Non consectetur a erat nam at. Varius vel pharetra vel turpis nunc eget lorem. Nunc non blandit massa enim nec dui nunc mattis. Leo in vitae turpis massa sed elementum tempus. Vitae congue mauris rhoncus aenean vel elit.

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❔
No Review Comments for Topic		

⊕ Add Comment

CANCEL   SUBMIT

4. Add your comment text and then click 'Add'.

📄 **Individual Review & Comments**

Comment	Added By
No Review Comments for Topic	

☐ **Add a New Comment to Topic**

New Comment *

This looks very thorough.

Provide any individual comments regarding this topic. Other review team members will be able to view the comment. Character count: 25/1500

BACK   ADD

5. You may edit or delete your comments after they have been added.

☑ **1A. Standards & Ratings**

Please provide any other comments related to the questions above.

Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Odio ut enim blandit volutpat maecenas volutpat. Phasellus egestas tellus rutrum tellus pellentesque eu tincidunt. Tempor orci eu lobortis elementum nibh tellus molestie nunc. Non consectetur a erat nam at. Varius vel pharetra vel turpis nunc eget lorem. Nunc non blandit massa enim nec dui nunc mattis. Leo in vitae turpis massa sed elementum tempus. Vitae congue mauris rhoncus aenean vel elit.

STANDARD 1-A: The agency must have a mission statement and a strategic plan. The strategic plan should be reviewed annually and include measurable goals with assigned accountability. The agency must meet or be in process of meeting the desired goals as stated in the plan. A succession plan, either formal or informal, should be developed for the agency.

The agency must have an up-to-date organizational chart indicating direct lines of responsibility that correspond to supervisory roles and job descriptions.

Note: Job descriptions are further evaluated in the Personnel Section 2.

Agency Credit Union Rating   2 - The agency meets the standard.

Agency MSB Rating   2 - The agency meets the standard.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❓
This looks very thorough.	Cathy CSBS	✏️ Edit 🗑️ Delete
➕ Add Comment		

CANCEL   SUBMIT

6. Once all comments are added as necessary, click 'Submit'. Comments are not required.

🗁 **1A. Topic Documents**

File	Description	Associated Topics
SEQ Template (1)	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel.	1-A. Mission Statement, Strategic Plan and Organizational Chart

📄 **Individual Review & Comments**

Comment	Added By	Actions ❓
This looks very thorough.	Cathy CSBS	✏️ Edit 🗑️ Delete
➕ Add Comment		

CANCEL   SUBMIT

Note: Facilitators can also edit or delete any comments added by the review team.

View and Print Calculated Scoresheet

1. To view the agency score and team score as compared to the passing score and maximum score for each accreditation type in an SEQ review, click 'Scoresheet' underneath the agency name header.

2. This will direct you to a topic-by-topic level listing on the team and agency ratings, and the calculated corresponding scores. At the top there is a summary for each accreditation type with the summed scores and their comparison to the passing and total scores, as appropriate.

3. If this SEQ review has more than one associated accreditation type, you can switch between viewing score summaries for the different types by clicking on any of the grey colored boxes at the top of the page. For instance, clicking anywhere within the area outlined in red below will switch the view to show only MSB ratings and scores for this SEQ review.

4. In order to view a printable version of *all* ratings and scores for *all* accreditation types (if more than one is applicable), click 'View All Scores'.

Scoresheet   🖶 View All Scores

Accreditation Type Selection

🖥 Credit Union		📇 MSB	
843 Agency Score	**959** Team Score	**1177** Agency Score	**1265** Team Score
Passing Score: 851	Max Score: 1641	Passing Score: 1056	Max Score: 1920

✉ EXPORT

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10

5. You can now use your browser's print function to print a copy of all relevant data for this SEQ review. When you are finished printing you can return to the summary scoresheet page by clicking 'Selection View'.

Scoresheet   ↺ Selection View

✉ EXPORT

SEQ Score Overview	Credit Union Score	MSB Score
Agency Totals	843	1177
Review Team Totals	959	1265
Passing Score	851	1056
Max Score	1641	1920

🖥 **Credit Union Scores**

Section 1. Agency Administration and Finance	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 1-A. Mission Statement, Strategic Plan and Organizational Chart	8	2	16	2	16
Topic 1-B. Internal Communication	5	2	10	2	10
Topic 1-C. Communication with Other Regulatory Agencies	5	2	10	3	15
Topic 1-D. Communication with Industry	5	1	5	2	10
Topic 1-E. Consumer Education / Financial Literacy	4	3	12	3	12
Topic 1-F. Access to Legal Assistance	5	0	0	1	5
Topic 1-G. Agency Facilities	3	3	9	3	9
Topic 1-H. Business Continuity Plan	5	2	10	2	10
Topic 1-I. Technology Infrastructure and Cybersecurity	16	1	16	2	32
Topic 1-J. Budget Revenue Source / Contingency Plan	12	1	12	1	12
Topic 1-K. Budget Expenses / Supplemental Budgets	12	3	36	2	24
Section 1 Total (Max Score: 240 Passing Score: 120)		20	136	23	155

Section 2. Personnel and Training	Topic Value	Agency Credit Union Rating	Agency Credit Union Score	Team Credit Union Rating	Team Credit Union Score
Topic 2-A. Personnel Manual	5	1	5	1	5
Topic 2-B. Job Descriptions	5	0	0	1	5
Topic 2-C. Hiring Policies	5	3	15	2	10
Topic 2-D. Promotional Opportunities / Pay for Performance	5	2	10	2	10
Topic 2-E. Performance Appraisal Process	5	2	10	2	10

Provide Recommendations/Suggestions/Accolades

1. To view the findings for a SEQ review, click 'Findings' underneath the agency name header.

Kentucky Department of Financial Institutions

SUBMIT REVIEW

Summary | Exhibits | Team Review | Scoresheet | Findings | Related Actions

| Scheduling | Sent to Agency | ...nding Agency Submission | Submitted by Agency | Under Review | **Finalize Review** | Report Submitted | Audit Complete | Closed |

Sections & Topics Overview

	Section Name	Assignment / Individual Ratings	Individual Review Comments	
>	Section 1. Agency Administration and Finance	Rob Reviewer	2 Comments	🖶
>	Section 2. Personnel and Training	Rita Reviewer	2 Comments	🖶
>	Section 8. Credit Union - Examination	Rob Reviewer	1 Comment	🖶
>	Section 9. Credit Union - Supervision Powers	Rita Reviewer	No Comments	🖶
>	Section 10. Credit Union - Legislative Powers	Rob Reviewer	No Comments	🖶
>	Section 11. Credit Union - Bonus Attributes	Rita Reviewer	No Comments	🖶
>	Section 12. MSB Examination Program	Rob Reviewer	No Comments	🖶
>	Section 13. MSB Supervision and Legislation	Rita Reviewer	No Comments	🖶

2. In order to add or update recommendations related to this accreditation SEQ, click 'Manage Recommendations'.

Recommendations

Manage Recommendations

Topic	Recommendation	Accreditation Type
	No Recommendations Added	

3. All of the topics with a rating of 1 or 0 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

Manage Recommendations

❋ Topics with a '0' or '1' Team Rating

Topic Name	Accreditation Type	Review Team Comments
1-F. Access to Legal Assistance	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
1-F. Access to Legal Assistance	MSB	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
1-J. Budget Revenue Source / Contingency Plan	Credit Union	
1-J. Budget Revenue Source / Contingency Plan	MSB	
2-A. Personnel Manual	MSB	
2-A. Personnel Manual	Credit Union	
2-B. Job Descriptions	Credit Union	
2-B. Job Descriptions	MSB	
2-G. Training Coordinator / Evaluations	Credit Union	
2-G. Training Coordinator / Evaluations	MSB	

« ‹ 1 – 10 of 25 › »

4. To add a new recommendation, click 'Add Recommendation'.

Recommendations

Topic	Recommendation	Accreditation Type	Actions
	No Recommendations Added		

⊕ Add Recommendation

5. Choose a topic for this recommendation to relate to, and then choose the corresponding accreditation type and enter the text of your recommendation. Once you have filled in all the fields, click 'Add'.

Add a New Recommendation

Topic Selection

8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments ✕

Accreditation Type

Credit Union ▾

Recommendation *

Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget.

Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod.

Character count: 1378/1500

BACK   **ADD**

6. You can edit or delete an existing recommendation by selecting either action in the corresponding row of a previously-added recommendation.

📄 Recommendations

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

7. Once all recommendations have been added, click 'Done' to go back to the view of all findings.

📄 Recommendations

Topic	Recommendation	Accreditation Type	Actions
8-C-3. Scope of Examination Capabilities: Ability to Examine Credit Union Investments	Turpis massa sed elementum tempus egestas sed sed risus. Tellus cras adipiscing enim eu turpis. Sit amet volutpat consequat mauris. Viverra aliquet eget sit amet tellus cras adipiscing enim. Aliquet eget sit amet tellus. Sagittis purus sit amet volutpat consequat. Nisi porta lorem mollis aliquam ut porttitor leo a diam. Pharetra diam sit amet nisl suscipit adipiscing bibendum est ultricies. Metus aliquam eleifend mi in nulla posuere sollicitudin aliquam ultrices. Rhoncus urna neque viverra justo nec ultrices dui sapien eget. Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.	Credit Union	✏ Edit 🗑 Delete

➕ Add Recommendation

DONE

8. In order to add or update suggestions related to this accreditation SEQ, click 'Manage Suggestions'.

☰ Suggestions

✏ Manage Suggestions

Topic	Suggestion	Accreditation Type
	No Suggestions Added	

9. To add a new suggestion, click 'Add Suggestion'.

Manage Suggestions

📄 Suggestions

Topic	Suggestion	Accreditation Type	Actions
	No Suggestions Added		

⊕ Add Suggestion

10. Choose a topic for this suggestion to relate to, and then choose the corresponding accreditation type and enter the text of your suggestion. Once you have filled in all the fields, click 'Add'.

☐ Add a New Suggestion

Topic Selection   **Accreditation Type**

8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions ✖ | Credit Union ▾ |

NOTE: For suggestions, only topics that have received a team rating of '2' will be available to be selected

Suggestion *

Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Character count: 1252/1500

BACK   **ADD**

Note: For suggestions, only topics that have received a team rating of '2' will be available to be selected.

11. You can edit or delete an existing suggestion by selecting either action in the corresponding row of a previously-added suggestion.

📄 Suggestions

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. | Credit Union | ✏Edit 🗑Delete |

⊕ Add Suggestion

12. Once all suggestions have been added, click 'Done' to go back to the view of all findings.

Manage Suggestions

📄 Suggestions

Topic	Suggestion	Accreditation Type	Actions
8-C-6. Scope of Examination Capabilities: Ability to Conduct Financial Analysis of the State's Credit Unions	Dolor sit amet consectetur adipiscing elit pellentesque. Orci dapibus ultrices in iaculis nunc sed. Diam sollicitudin tempor id eu nisl nunc mi ipsum. Fringilla ut morbi tincidunt augue interdum velit euismod. Pharetra massa ultricies mi quis hendrerit dolor magna. Mus mauris vitae ultricies leo integer. Leo vel fringilla est ullamcorper. Nulla porttitor massa id neque aliquam vestibulum morbi blandit cursus. At tempor commodo ullamcorper a lacus vestibulum sed arcu. Aliquam eleifend mi in nulla posuere sollicitudin. Augue neque gravida in fermentum et sollicitudin ac orci phasellus. Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam.	Credit Union	✏ Edit 🗑 Delete

➕ Add Suggestion

DONE

13. In order to add or update accolades related to this accreditation SEQ, click 'Manage Accolades'.

☰ Accolades   ✏ Manage Accolades

Topic	Accolade	Accreditation Type
	No Accolades Added	

14. All of the topics with a rating of 3 are displayed in a grid at the top of the page, along with the corresponding accreditation type, and any comments. You can navigate through this list by clicking the arrows below it.

Manage Accolades

⭐ Topics with a '3' Team Rating

Topic Name	Accreditation Type	Review Team Comments
1-C. Communication with Other Regulatory Agencies	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
1-E. Consumer Education / Financial Literacy	MSB	
1-E. Consumer Education / Financial Literacy	Credit Union	
1-G. Agency Facilities	MSB	
1-G. Agency Facilities	Credit Union	
2-C. Hiring Policies	MSB	
2-I. Training Manual and On-the-Job Training	MSB	
2-I. Training Manual and On-the-Job Training	Credit Union	
8-C-8. Scope of Examination Capabilities: Ability to Examine Credit Union Off Balance Sheet Items	Credit Union	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus.
8-E. Planning Individual Safety and Soundness Exams	Credit Union	

‹ 1 – 10 of 15 ›

15. To add a new accolade, click 'Add Accolade'.

📄 Accolades

Topic	Accolade	Accreditation Type	Actions
	No Accolades Added		

➕ Add Accolade

16. Choose a topic for this accolade to relate to, and then choose the corresponding accreditation type and enter the text of your accolade. Once you have filled in all the fields, click 'Add'.

☐ **Add a New Accolade**

Topic Selection   **Accreditation Type**

8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually ✖   Credit Union   ▾

Accolade *

Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum.

Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing

Character count: 1078/1500

BACK   ADD

17. You can edit or delete an existing accolade by selecting either action in the corresponding row of a previously-added accolade.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✏Edit 🗑Delete

➕ Add Accolade

18. Once all accolades have been added, click 'Done' to go back to the view of all findings.

📄 **Accolades**

Topic	Accolade	Accreditation Type	Actions
8-C-1. Scope of Examination Capabilities: Ability to Examine 50% of its Credit Unions Annually	Eget magna fermentum iaculis eu non diam phasellus vestibulum. At consectetur lorem donec massa sapien faucibus et. Consequat nisl vel pretium lectus quam id leo in. Orci dapibus ultrices in iaculis nunc sed augue. Massa id neque aliquam vestibulum. Ac tortor vitae purus faucibus ornare suspendisse sed nisi. Semper auctor neque vitae tempus quam. Venenatis lectus magna fringilla urna porttitor rhoncus. Tristique senectus et netus et malesuada fames ac turpis. Purus faucibus ornare suspendisse sed nisi. Eget nulla facilisi etiam dignissim diam quis enim lobortis. Suspendisse potenti nullam ac tortor vitae purus. Vel quam elementum pulvinar etiam. Adipiscing bibendum est ultricies integer quis auctor. Vitae semper quis lectus nulla. Enim neque volutpat ac tincidunt vitae semper quis lectus nulla. Sollicitudin tempor id eu nisl nunc mi ipsum. Amet cursus sit amet dictum. Velit egestas dui id ornare. Mollis aliquam ut porttitor leo a diam sollicitudin. Vitae congue mauris rhoncus aenean vel elit scelerisque mauris pellentesque. Neque egestas congue quisque egestas.	Credit Union	✏Edit 🗑Delete

➕ Add Accolade

DONE

Manage Review Documents

1. To add documents that will only be seen by the review team of an individual accreditation SEQ, click 'Exhibits'.

2. Then click 'Review Team Documents'.

3. To add a new document, click 'Upload New Document' below the grid.

4. Upload a document from your computer, and optionally provide a description. Then click 'Add Document'.

5. You can edit or delete any previously-added review document by clicking on either action in the corresponding row.

📁 **Documents for Review Team**

File	Description	Actions
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq	✏ Edit 🗑 Delete
Jira (2)	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada bibendum arcu vitae. Etiam sit amet nisl purus in mollis nunc sed. Sed id semper risus in hendrerit gravida rutrum. Convallis tellus id interdum velit laoreet id donec ultrices tincidunt. Urna id volutpat lacus laoreet non curabitur gravida. Non curabitur gravida arcu ac tortor dignissim. Amet tellus cras adipiscing enim eu turpis egestas. Laoreet suspendisse interdum consectetur libero id faucibus nisl tincidunt eget. Eget mauris pharetra et ultrices neque ornare aenean. Ornare lectus sit amet est placerat in. Viverra orci sagittis eu volutpat odio facilisis mauris. In eu mi bibendum neque egestas congue quisque. Luctus accumsan tortor posuere ac ut. Luctus venenatis lectus magna fringilla urna,	✏ Edit 🗑 Delete
07232019TestDoc	No description Added	✏ Edit 🗑 Delete

➕ Upload New Document

6. Once you have finished adding all documents for the review team, click 'Close'.

Manage Review Team Documents

📁 **Documents for Review Team**

File	Description	Actions
CathyCSBS	Lorem ipsum dolor sit amet, consectetur adipiscing elit, sed do eiusmod tempor incididunt ut labore et dolore magna aliqua. Sit amet purus gravida quis blandit turpis cursus. Nec ullamcorper sit amet risus nullam. Ullamcorper a lacus vestibulum sed arcu non odio euismod. Arcu cursus vitae congue mauris rhoncus aenean vel. Non odio euismod lacinia at. Pulvinar mattis nunc sed blandit libero volutpat sed cras. In hendrerit gravida rutrum quisque non tellus orci ac auctor. Porttitor rhoncus dolor purus non enim praesent elementum. Augue interdum velit euismod in pellentesque. Urna id volutpat lacus laoreet non curabitur gravida arcu. Adipiscing commodo elit at imperdiet dui accumsan. Sit amet venenatis urna cursus eget nunc scelerisque viverra. Morbi leo urna molestie at elementum eu facilisis. Blandit cursus risus at ultrices. Odio facilisis mauris sit amet massa vitae tortor condimentum. Risus quis varius quam quisque id diam vel. Ipsum dolor sit amet consectetur adipiscing elit ut aliq	✏ Edit 🗑 Delete
Jira (2)	EDITED~ Sed velit dignissim sodales ut eu sem integer vitae justo. Nunc mi ipsum faucibus vitae aliquet nec ullamcorper. Sem et tortor consequat id. Elementum integer enim neque volutpat ac tincidunt vitae. Vulputate sapien nec sagittis aliquam malesuada. Sapien nec sagittis aliquam malesuada bibendum arcu vitae. Etiam sit amet nisl purus in mollis nunc sed. Sed id semper risus in hendrerit gravida rutrum. Convallis tellus id interdum velit laoreet id donec ultrices tincidunt. Urna id volutpat lacus laoreet non curabitur gravida. Non curabitur gravida arcu ac tortor dignissim. Amet tellus cras adipiscing enim eu turpis egestas. Laoreet suspendisse interdum consectetur libero id faucibus nisl tincidunt eget. Eget mauris pharetra et ultrices neque ornare aenean. Ornare lectus sit amet est placerat in. Viverra orci sagittis eu volutpat odio facilisis mauris. In eu mi bibendum neque egestas congue quisque. Luctus accumsan tortor posuere ac ut. Luctus venenatis lectus magna fringilla urna,	✏ Edit 🗑 Delete
07232019TestDoc	No description Added	✏ Edit 🗑 Delete

➕ Upload New Document

CLOSE

7. These documents will be available for viewing by the review team and CSBS staff in the 'Exhibits' tab for the individual review. Agency users will not be able to view any of the review team documents.

Generate Review Report

1. To generate a DOCX version of the review report document for an accreditation SEQ, click 'Related Actions'.

2. Then click 'Generate Review Report'.

3. Click 'Close' on the confirmation page.

Report Generation Confirmation

✔ **The review is now being generated.**
An email containing the review report document will be sent to you once the generation is complete.

CLOSE

4. Wait for the document to be emailed to you from sender 'AOS Generate Review Document'.

Review Report Document For Colorado Division of Banking Inbox ×

AOS Generate Review Document <process536925966@csbs-test.appiancloud.com>
to me ▾

10:03 AM (0 minutes ago)

The review report for the 5-year accreditation is attached. Please contact CSBS staff with any questions regarding accreditation.

W Colorado Division o...

Audit Team Member

Home Page

The main informative and transactional section of the home page is the grid of all active audit tasks for an individual user. This listing references any outstanding tasks for accreditation review records that have been submitted for audit. A user will only see audit tasks for records for which they are a member of the audit team, as specified by a member of the CSBS internal staff. If you have no outstanding audit tasks, then the 'Audit Tasks' section will not appear, as seen below.

Performing an Audit

1. Once an audit task appears, clicking on blue 'Review Audit' link from the Audit Tasks grid will direct you to the audit task for that individual review record, which includes the report document.

Audit Tasks		
Audit Team Tasks		
Name	Agency	Review Type
Review Audit	Colorado Division of Banking	Bk & Mtg

2. From this task you can download the report document by clicking on the blue link.

3. After you have reviewed the document, make any comments necessary in the comment field and then either click 'Save' (to return to the task at a later date and preserve all of the comments that you have previously entered) or 'Submit' (to send your comments to the review team for this accreditation review and complete the task, thus removing it from your home page task listing).

4. If you chose Submit, click 'Yes' on the confirmation popup.

Records Page

This page allows users to view all of the details about individual 5-year accreditation reviews for the agencies present in the system – past and present. This tab shows both active and past records, and it is a running list of all SEQ reviews that you have been an audit team member of. You will not see any records that you were not on the audit team for.
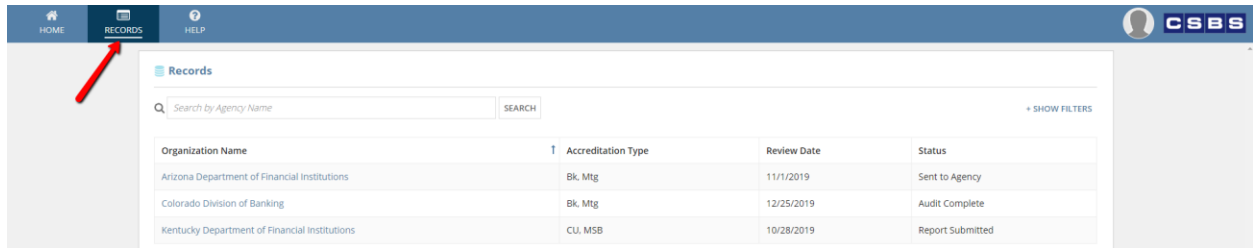
Search and Filter

1. To search for a specific accreditation review, enter part or all of the agency name into the search bar above the grid and then click 'Search'.
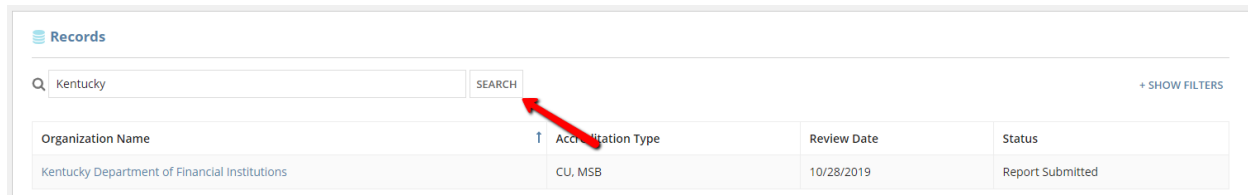
2. To filter by review date or review status, click '+ Show Filters' at the top and then after the filter section expands, enter values into the fields as appropriate, and click 'Search'.
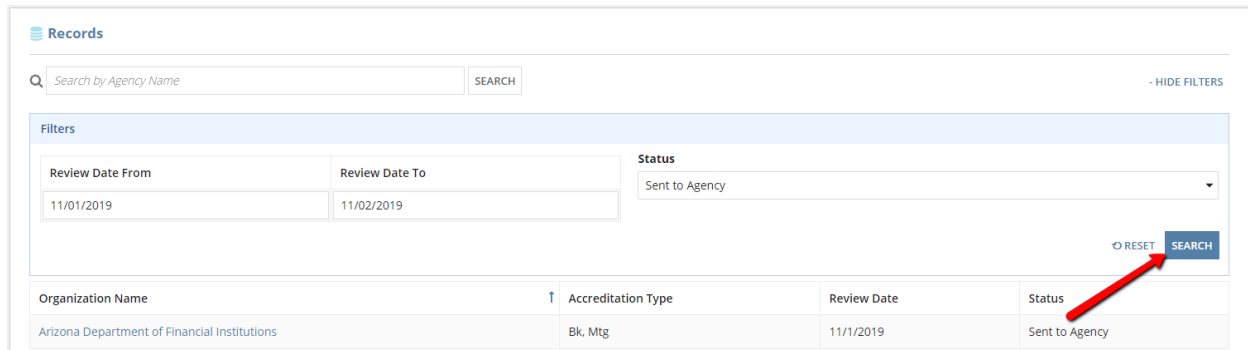
Help Page

This page allows users to view resources that have been places into the system as tutorials or guides. There are multiple different types of resources available, and they can be sorted and filtered. They are sorted by the date they were last modified with the most recent at the top, but can be sorted by any of the other columns.
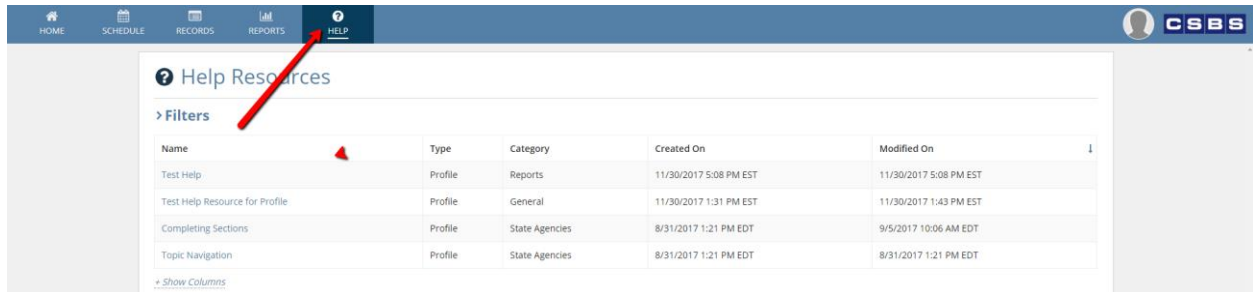
Search and Filter

1. To search or use filters to find a specific help resource, click 'Filters'.
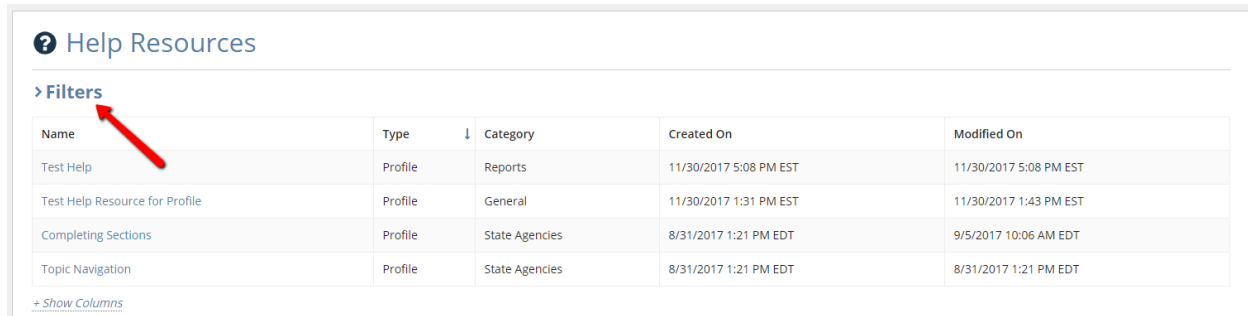
2. The filter fields can be used in any combination, and you do not have to fill in values for all of them in order to perform a search. Once you have set the filters as needed, click 'Search'.
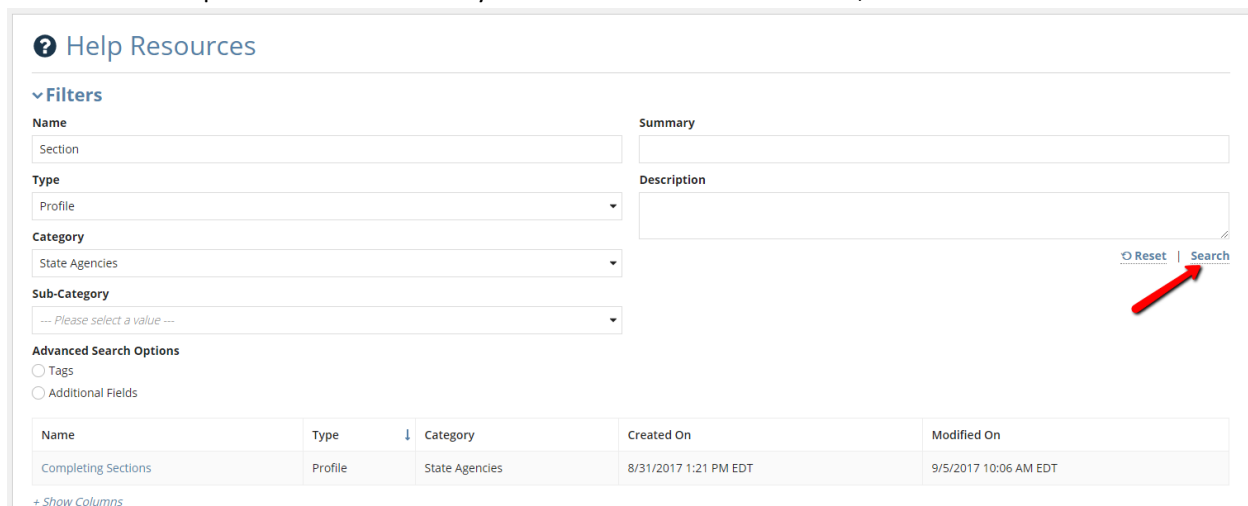
3. To hide columns that aren't relevant, or restore columns that were previously hidden, first click '+ Show Columns' below the grid and then after the column selection checkboxes appear, select and de-select columns as needed, and the changes will be effective immediately in the grid.

Note: Even if no columns are selected in the dropdown, the Name column will still appear as default.

4. After locating the correct resource, clicking on its name will direct the user to [more details about that specific resource](#).

Individual Help Resource

1. By navigating to this individual resource, you can view all of the details associated with it, as well as any related files, links, or comments.

2. Within the details section at the top, you can rate the quality of this resource by clicking 'Rate this Resource'.

Type	Profile	**Summary**	Details on completing sections for the SBA profiles
Category	State Agencies	**Description**	When in the home page, clicking the links on the Section Status Grid for the respective section names will lead you to the section dashboard. At this point, there will be a button that says "Edit" with the section name that will lead you to the form to complete the section.
Contact Name	Ian IT Staff		
Contact Phone	(703) 222-1234		
Contact Email	ian@test.com	**Tags**	
		Average Rating	No rating
			Rate this Resource

3. The field will change into a selectable rox of stars and you can select the star that reflects your rating of the resource. More stars is a higher value and a better rating.

Type	Profile	**Summary**	Details on completing sections for the SBA profiles
Category	State Agencies	**Description**	When in the home page, clicking the links on the Section Status Grid for the respective section names will lead you to the section dashboard. At this point, there will be a button that says "Edit" with the section name that will lead you to the form to complete the section.
Contact Name	Ian IT Staff		
Contact Phone	(703) 222-1234		
Contact Email	ian@test.com	**Tags**	
		Average Rating	No rating
			☆☆☆☆☆

4. After selecting a star, click 'Submit Rating'.

Type	Profile	**Summary**	Details on completing sections for the SBA profiles
Category	State Agencies	**Description**	When in the home page, clicking the links on the Section Status Grid for the respective section names will lead you to the section dashboard. At this point, there will be a button that says "Edit" with the section name that will lead you to the form to complete the section.
Contact Name	Ian IT Staff		
Contact Phone	(703) 222-1234		
Contact Email	ian@test.com	**Tags**	
		Average Rating	No rating
			★★★★☆ Submit Rating

5. Another possible action from this resource is downloading or viewing any videos associated with it. You can download the file by clicking on its name, or view it by clicking 'View Video' in the corresponding row.

Files

Name	Summary	Watch Video
SampleVideo_720x480_1mb	Screen capture for completing a Profile section	View Video

Note: The 'View Video' option will only be available if the file is in video format. All non-video files will only have the option to download.

6. If there are any links associated with the resource, you can navigate to them by clicking their value under the Link column in the 'Links' section.

Links

Link	Summary
	No items available

7. You can view and add comments about this resource by clicking 'Comments' at the top and then clicking '+ Add New' below the grid.

Completing Sections

Summary | **Comments** | News | Related Actions

Comment	By	When	↓
Adding Contact information	CSBS Business Admin	9/5/2017 10:06 AM EDT	
Removing video for Profile Help	Anonymous	9/4/2017 9:57 PM EDT	
Adding new video for Profile Help	Anonymous	9/4/2017 9:54 PM EDT	
Adding new video for Profile Help	Anonymous	9/2/2017 10:07 AM EDT	

+ Add New

8. After adding your comment you can choose to make it anonymous (or not) by selecting the 'Make Anonymous' box, and then clicking 'Save'.

Comment	By	When	↓
Adding Contact information	CSBS Business Admin	9/5/2017 10:06 AM EDT	
Removing video for Profile Help	Anonymous	9/4/2017 9:57 PM EDT	
Adding new video for Profile Help	Anonymous	9/4/2017 9:54 PM EDT	
Adding new video for Profile Help	Anonymous	9/2/2017 10:07 AM EDT	

New Comment

This video was very helpful.

☐ Make Anonymous

Cancel | 🖫 Save

Update User Profile

All system users can customize the appearance of their profile within the Accreditation Online System.

1. Click on the circle with the picture (or grey silhouette) next to the CSBS logo.
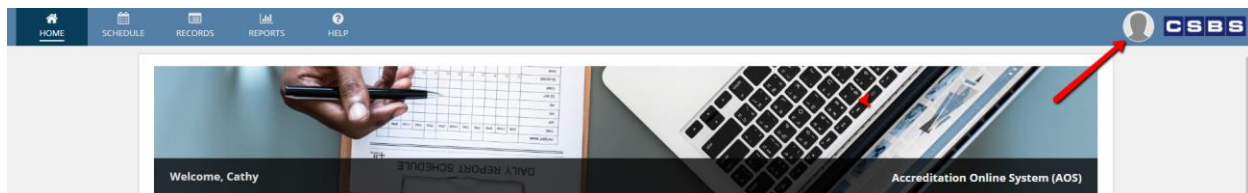
2. Click 'Profile' from the list that appears.
3. Click the 'Photos' dropdown and then choose whether you want to change your Profile or Cover Photo.
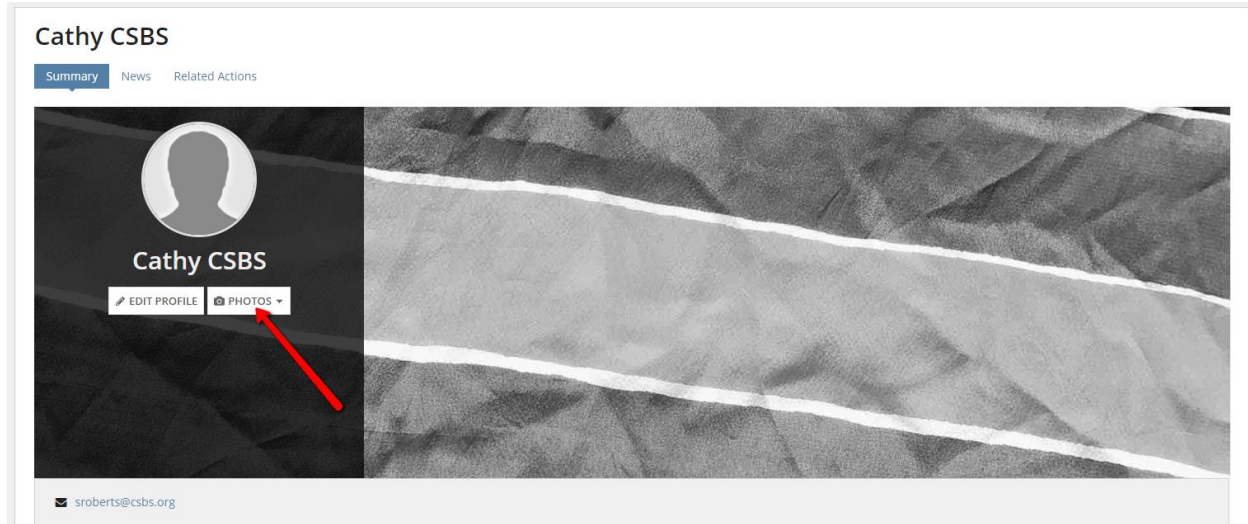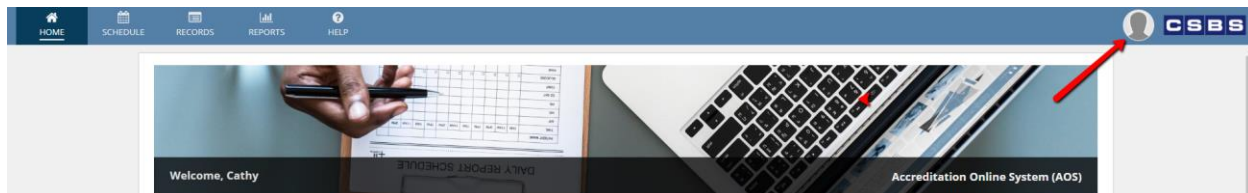
4. Click Upload and then select a .jpg or .jpeg file from the location of the saved file on your computer. Once you have zoomed and repositioned the photo as necessary, click 'Change Photo'.
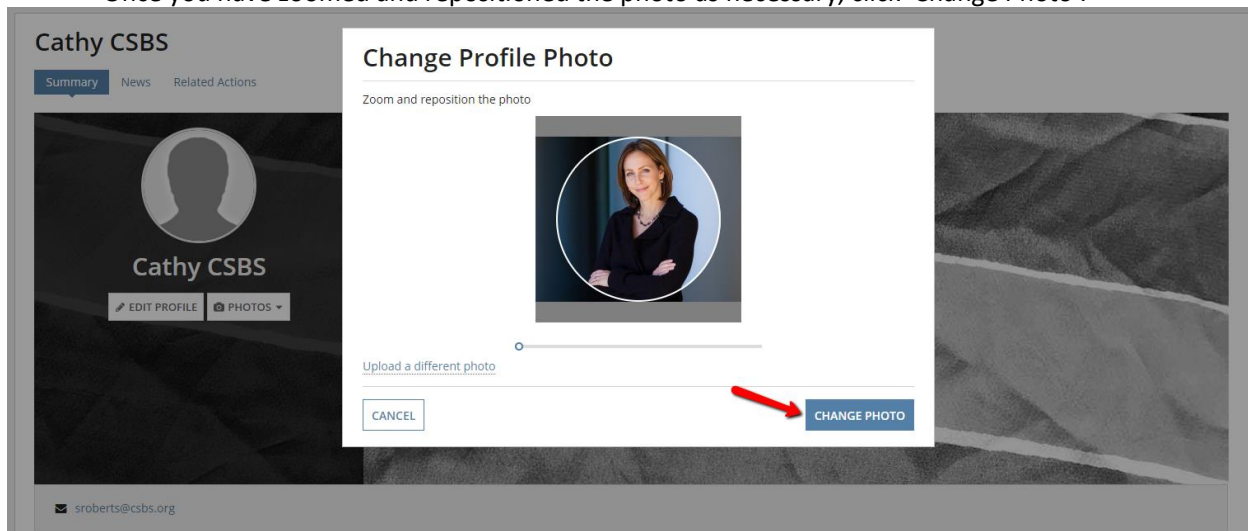
User Settings

1. Click on the circle with the picture (or grey silhouette) next to the CSBS logo.

2. Click 'Settings' from the list that appears.
3. Change the Regional settings as necessary, and click 'Save Changes'.

4. Change the Email Notifications settings as necessary, and click 'Save Changes'.

5. Change the Mobile Notifications settings as necessary, and click 'Save Changes'.

Contacts

For AOS questions or system related issues, email accreditation@csbs.org