Financial Inspection Basic Guidelines

< Contents >

	Page
I. Basic Approach to Conducting Inspections, etc.	1
II. Procedures for Conducting Inspections, etc.	6
1 Scope of Application	7
2 Basic Guidelines and Plans for Financial Inspections	8
(1) Comprehensive Inspection	
(2) Partial Inspection	
3 Procedures for Conducting Inspections, etc.	9
3-1 Before Commencement of On-the-spot Inspection	9
(1) Advance Notice	
(2) After Advance Notice, Before Commencement of On-the-spot Inspectio	n
(3) Points to Consider when Requesting Data, etc. in Advance	
(4) Prior Explanation of Important Matters, etc. to Target Financial Institution	on
3-2 During On-the-spot Inspection	11
(1) Presentation of Inspection Order, etc.	
(2) Relationship with Internal Audits, Audits by Auditors	
(3) Exchange of Opinions with External Auditor	
(4) Points to Consider when Requesting Data, etc.	
(5) Verification	
(6) Site Investigation	
(7) Procedures for Completing On-the-spot Inspection (Exit Meeting)	
(8) Suspension of On-the-spot Inspection	
(9) Other Points to Consider	
(10) Inspection Monitoring	
3-3 After Completion of On-the-spot Inspection	21
(1) Opinion Submission System	
(2) Issue, etc. of Inspection Results Notice	
(3) Collaboration with Supervisory Departments/Bureaus for Inspection R	Results
Notice	

4	Information Management	22
	(1) Reasons for Nondisclosure of Information on Individual Inspections, etc.	
	(2) Points to Consider in Inspections, etc. regarding Information Management	
	(3) Identification of Actual Status, etc. by the Chief Document Manager, etc.	
	(4) Treatment of Inspection-related Information and Content of Inspection Results	
	Notice	
5	Other	24
	(1) Collaboration with the Securities and Exchange Surveillance Commission	
	(SESC)	
	(2) Collaboration with the Bank of Japan	
	(3) Application of Inspections, etc. to Government-affiliated Financial Institutions	
	and Japan Post	
6	Enforcement Date, etc.	25