

Comptroller of the Currency
Performance Report for FY2001

Actual Performance Figures are in **bold**, Final Targets are in plain text, and Proposed Targets and Projected Actuals are *italicized*.
Targets which were not met are shown in red.

Mission: The OCC charters, regulates, and supervises national banks to ensure a safe, sound and competitive national banking system that supports the citizens, communities, and economy of the United States.

Budget Activity: NA

Performance Goal:

Achieve effective compliance with Federal Deposit Insurance Corporation Improvement Act (FDICIA) examination schedule requirements for community banks.

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Percent of bank examinations conducted as scheduled	92%	98%	95%	94%
				View Explanation

Performance Goal:

Continue to improve corporate application processes to achieve maximum efficiency and responsiveness, consistent with safety and soundness.

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Percent of regulations and handbooks drafted that incorporate plain language criteria			100%	100% View Explanation

View Definition and Validation Percentage of on-time performance for processing corporate applications	95%	96%	95%	96% View Explanation
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Performance Goal:

Effectively respond to bank customer complaints and consumer inquiries in a timely manner.

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Average time to process customer complaints and consumer inquiries. (in days)	45	51	50	46 View Explanation

Performance Goal:

Tailor workforce competencies to the changing risk profile of the financial services industry.

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Percent of planned training accomplished			90%	90% View Explanation

Performance Goal:

Implement OCC's Management Accountability Program

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Statement of reasonable assurance under the Federal Manager's Financial Integrity Act (FMFIA) and Substantial Compliance under the Federal Financial Management Improvement Act (FFMIA) is issued.		Unmet View Explanation	Met	Unmet View Explanation

Performance Goal:

Modernize financial systems to obtain more reliable and timely information in managing human and financial resources.

<u>Performance Measure(s):</u>	CY1999 Actual	CY2000 Actual	FY2001 Plan	FY2001 Actual
View Definition and Validation Percent of capital projects for major systems meeting funding, schedule and performance targets (Financial Management Information System and PeopleSoft HR system)			100%	100% View Explanation

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Performance Measure

Percent of bank examinations conducted as scheduled

Definition and Validation

Definition: The number of examinations past due compared to the number of examinations due (except those approved exceptions related to conversions, mergers, system conversions, etc.)

Verification and Validation: Using OCC's Supervisory Monitoring System (SMS) and Examiner View (EV), we can calculate the FDICIA required examination due date for each bank. The due date for each bank is the date that the next FDICIA examination must start. The start date is the date that an examination commences. That due date is either 12 or 18 months from the last examination close date, depending on the bank's examination cycle designation. When an exam is started, the examiner enters the start date in SMS or EV. Examinations that are not started by their FDICIA due date are reviewed to determine if they were included as permissible exceptions. The Supervisory Data Division reports the past due data as recorded in OCC systems. Supervisory Data also provides the districts with a quarterly report of banks that should be on a 12 month rather than 18 month examination cycle and banks without ratings. District responses, including their reporting on approved exceptions, are considered in preparing the final analysis for this data element. Annually, the Quality Assurance Group reviews a sample of community banks as part of OCC's data integrity review to determine the accuracy of data. In addition, periodic reviews are conducted of large and mid-size banks.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Percent of regulations and handbooks drafted that incorporate plain language criteria

Definition and Validation

Definition: Percentage of final rules issued that incorporate at least 1 or more of the techniques outlined in the Presidential Memorandum dated June 1, 1998.

Verification and Validation: All OCC final rules are public documents published in the Federal Register. The OCC also maintains file copies of all rules and provides access to rules published in the Federal Register through its Internet and Intranet web sites. A representative sample of final rules issued in 2001 will be pulled by staff of the Legislative and Regulatory Analysis Division. A staff member familiar with the requirements of the Presidential Memorandum dated June 1, 1998, and who was not involved in drafting the rule, will review the sample documents for compliance with the criteria in the memorandum. If fewer than 10 rules are issued in 2001, all rules will be reviewed. "Numerical sampling will be performed according to "Sampling Methodologies," Comptroller's Handbook, August 1998.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Percentage of on-time performance for processing corporate applications

Definition and Validation

Definition: The number of non-protested applications for which on-time performance is maintained. On-time performance is defined as processing applications within the targeted time frames the OCC has established for each application type. A targeted time frame is a specified number of calendar days from the date of OCC receipt (or in some cases, publication of application by applicant established by OCC) for each application type. On-time has variations depending on application type and if the application qualifies for expedited processing (applications filed by eligible banks qualify - with time frames specified in appropriate sections of 12 CFR 5). Targeted time frames are published by the OCC and made available for all applicants in the Comptroller's Corporate Manual. (see following - Target Time Frames)(In 2000, 85% processing applications within the targeted time frames the OCC has established for each application type were for expedited and 16% were for standard. Target Time Frames in Numbers of Days can not be listed in this Performance Reporting System due to system space limitations. Please contact Treasury's Office of Strategic Planning for details.

Verification and Validation: The Licensing Department tracks the on time performance on all applications through the Corporate Activity Information System (CAIS), which includes receipt, decision and consummation dates, and other data. For each non-protested filing, the actual decision date is compared to the target action date. The two primary validation and verification processes to insure accuracy are published in the Weekly Bulletin and Quality Assurance weekly reviews by staff members. Additionally, there are continuous reviews in place to monitor the timeliness of decisions and reviews of filings that may exceed target time frames for reporting to the Deputy Comptroller for Bank Organization and Structure and ultimately to the Chief Counsel.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Average time to process customer complaints and consumer inquiries. (in days)

Definition and Validation

Definition: The average complaint processing days are determined by averaging the number of days from receipt of a complaint to resolution of that complaint for all of the complaints resolved during a calendar quarter.

Verification and Validation: The Remedy Action Response System (RARS) calculates the average complaint processing time and reports this information through a Crystal Report. The report is run on a weekly basis for review by management. A hard copy of the quarter end report is maintained in the Customer Assistance Group. Two reports are run to verify that the average complaint processing time is accurate. The Executive Summary Report calculates the average processing time by product type, while the Resolution Time Report calculates the average processing time by each of the individual specialists.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Percent of planned training accomplished

Definition and Validation

Definition: By September 30, 2001, 90% of the scheduled internal training sessions for time period 1/1/01-9/30/01 have been held as planned.

Verification and Validation: Compare Training Administration System (TAS) schedule from 1/1/01-9/30/01 to TAS completion report on 10/01/01. Continuing Education Resource Alternatives (CERA) Managers will validate results and data.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Statement of reasonable assurance under the Federal Manager's Financial Integrity Act (FMFIA) and Substantial Compliance under the Federal Financial Management Improvement Act (FFMIA) is issued.

Definition and Validation

Introduction: Management accountability is the expectation that managers are responsible for the quality and timeliness of OCC's mission and managing ongoing operations, maintaining an effective and efficient organization, and assuring that OCC's programs are managed with integrity and in compliance with applicable laws. OCC needs to maintain sound management control systems, assess the adequacy of management controls, and identify any needed improvements, take corrective action as necessary, and report annually on management controls. Its annual report is the statement of assurance.

Definition: The annual statement is a requirement based on FMFIA and OMB Circular A-123 on the adequacy of agency management and accounting control systems based on an ongoing review of controls. Providing a statement of assurance

indicates the overall adequacy and effectiveness of management controls in the OCC.

Verification and Validation: Management will evaluate management control systems to determine if they meet the standards prescribed by federal oversight agencies. Management's assessment of management controls is based on: management's knowledge gained from the OCC's daily operations; assessments conducted annually by managers, IG and GAO reports; audits of financial statements; program evaluations; and, performance against annual performance plans and budgets. Included in the statement of assurance is a description of the analytical basis for the assurance and the extent to which activities were assessed.

Data Accuracy: Reasonable Accuracy

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Performance Measure

Percent of capital projects for major systems meeting funding, schedule and performance targets (Financial Management Information System and PeopleSoft HR system)

Definition and Validation

Definition: Achieving the milestones for the system implementations are key in providing a means for better resource management in the OCC. The implementation milestones and deliverables are defined as part of the program's workplan.

Verification and Validation: Senior management approves the workplan for the implementation of the Financial Management Information System (SMART) and the PeopleSoft HR System. The Project Manager for the Administrative Systems project manages the project to assure that the deliverables are provided by the dates indicated by the milestones. The achievement of the milestone will be verified and validated by comparing the deliverable and the date it was delivered with the specifications in the workplan.

Data Accuracy: Reasonable Accuracy

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Explanation:FY2000

Performance Measure:

Statement of reasonable assurance under the Federal Manager's Financial Integrity Act (FMFIA) and Substantial Compliance under the Federal Financial Management Improvement Act (FFMIA) is issued.

Explanation not provided.

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Explanation:FY2001

Performance Measure:

Percent of bank examinations conducted as scheduled

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).

As a result of the conversion and migration of data to a new examination monitoring and tracking system, minor data inaccuracies caused a small percentage of examinations to begin shortly after their "official" due dates under the Federal Deposit Insurance Corporation Improvement Act. Thus, the OCC did not meet the target of 95% of bank examinations commencing as scheduled. During the first part of the year, data integrity validation corrected the issue.

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Explanation:FY2001

Performance Measure:

Percent of regulations and handbooks drafted that incorporate plain language criteria

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).

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Explanation:FY2001

Performance Measure:

Percentage of on-time performance for processing corporate applications

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).

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Explanation:FY2001

Performance Measure:

Average time to process customer complaints and consumer inquiries. (in days)

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).

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Explanation:FY2001

Performance Measure:

Percent of planned training accomplished

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).

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Explanation:FY2001

Performance Measure:

Statement of reasonable assurance under the Federal Manager's Financial Integrity Act (FMFIA) and Substantial Compliance under the Federal Financial Management Improvement Act (FFMIA) is issued.

The performance goal was established based on a 2001 calendar year. The OCC implemented a new financial management system on October 1, 2001, which was the final action needed to issue a positive assurance statement with respect to FMFIA and FFMIA requirements. Because OCC changed from a calendar year to fiscal year reporting, qualified assurance for Section 4 FMFIA and noncompliance for FFMIA will be issued for 2001.

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Explanation:FY2001

Performance Measure:

Percent of capital projects for major systems meeting funding, schedule and performance targets (Financial Management Information System and PeopleSoft HR system)

Due to OCC's conversion from a calendar year to a fiscal year, 2001 actual data is for 9 months (January - September 2001).