

Data Review
Performance Measure Verification Self Audit Checklist
For offices reviewing performance data targets and actuals

This checklist is designed to help evaluate the processes and procedures being used to review data reported on performance measures.

Date of Self Audit: _____

Performance Measure (or set of related measures) (Attach another sheet listing measures if appropriate):

Program/Office Name: _____

Region: _____

Name of employee conducting self-audit: _____

Name of Responsible Official Reviewing Self- Audit: _____

Signature of Responsible Official: _____

I concur that the following self-evaluation of the verification of processes and procedures for this particular performance measure (or set of related measures) is complete and correct to the best of my knowledge.

Instructions: Complete the following worksheet for each performance measure (or set of related measures) for which your organization reviews performance data (targets and actuals) that is collected by other offices. Answer the questions for your part of the performance data review effort for your particular program office, regional office, or headquarters office.

This checklist is designed to help evaluate the processes and procedures being used to review performance measures. Since many times multiple measures are tracked and reported against using a particular system, many of the answers may be similar across multiple measures.

Answer each statement with a “yes” or “no” and enter any brief comments, including evidence of the “yes” or “no” answer in the comments area. If a statement is not applicable to your office, briefly state why in the comments.

This self audit should be reviewed by the appropriate responsible official, signed, and kept on file in your office with the other appropriate documentation on each performance measure (or set of related measures) your office reviews.

This self-audit becomes evidence that sufficient controls and processes are in place to support the Regional Director’s certification of the targets and actuals reported for this performance measure (or set of related measures) – when that occurs at the time of reporting both targets and actuals.

Performance Measure Verification Criteria			
Verification is assessing data accuracy, completeness, consistency, availability, and internal control practices that serve to determine the overall reliability of the data collected.			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Standards and Procedures</i>			
Source data are well defined and documented; definitions are available and used. Data definitions are well documented and distributed to all responsible for specific data collection/reporting. <i>[NOTE: Definition templates for Department-level GPRA performance measures are on the Internet at: http://www.doi.gov/gpra/sp_template.html]</i>			
Responsible offices can document adherence to data definitions for this measure.			
Definitions and standards are used in a consistent manner for all parties reporting data for this particular measure.			
Data collection, review, and edit standards are documented, available, and used. Collection, review and edit procedures are defined and documented			
Data reporting schedules are documented, distributed and followed			
Measure data reporting schedules linked to decision-making are issued to all parties responsible for data collection.			
Timely data collection and reporting of both targets and actuals is mandated and enforced.			
Data review staff are skilled/trained in proper procedures. Those employees or contractors responsible for reviewing performance data are trained.			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Data Entry and Transfer</i>			
Data sources are identified and assumptions about sources are documented.			
Data entry methodology is documented and followed. Documentation of data entry/reporting procedures is available and used by data entry/reporting personnel. Methods are comparable for all data entry/reporting locations.			
Data are verified Data is checked for obvious inaccuracies (e.g. Feb. 31) and against business rules and other edits			

Procedures for making changes to previously entered data are documented and followed.			
Data (targets and actuals) are available when needed for measure reporting and other critical decision-making cycles.			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Data Security and Integrity</i>			
Duplicate copies or back-up system for data exists -- as it relates to the collated data at the data-review level (e.g., Regional or National level.)			
Procedures, including frequency of back up system use, are documented and followed. Disaster recovery plan is in place.			
Data security protocols are in place and effective -- as it relates to the collated data at the data-review level (e.g., Regional or National level.)			
Appropriate firewalls/password protection, access levels, etc. are established. Security authority is established for those responsible for data review.			
Equipment and program reliability cannot compromise data accuracy -- as it relates to the collated data at the data-review level (e.g., Regional or National level.)			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Data Quality and Limitations</i>			
Method for handling anomalous data is established and used.			
Data that appears to be incongruous compared to most other data obtained is analyzed and explained. Data is reviewed for reasonableness vs. previous years, other regions, other field stations, etc			
3rd party evaluations are conducted.			
Objective internal and/or external parties are periodically used to verify accuracy/quality of data.			
Use of externally controlled data is documented.			
Degree of completeness and limitations of external data are documented. Need to use external data is established. External data is identified as such.			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Oversight and Certification</i>			

<p>Accountability for data accuracy exists in performance standards. Accountability resides with all employees responsible for accuracy of data.</p>			
<p>Responsible officials certify that <u>procedures</u> were followed each reporting period - both for setting targets and reporting actuals. Signed certifications are filed.</p>			
<p>Responsible officials certify that <u>data accuracy</u> has been checked each reporting period - both for setting targets and reporting actuals. Signed certifications are filed</p>			