

**Data Entry**  
**Performance Measure Verification Self Audit Checklist**  
**For offices collecting/entering performance data targets and actuals**

This checklist is designed to help evaluate the processes and procedures being used to track and report against performance measures.

Date of Self Audit: \_\_\_\_\_

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

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Facility Name: \_\_\_\_\_

Facility Org #: \_\_\_\_\_

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) that your office collects or reports on (targets and actuals). Answer the questions for your part of the performance data collection/reporting 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 track and report against 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, however, an evaluation should be done evaluating the processes used for each measure that is tracked and reported.

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 tracks or reports data for.

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>			
<p><b>Source data are well defined and documented; definitions are available and used.</b></p> <p>Data definitions are well documented and distributed to all responsible for specific data collection/reporting.</p> <p><i>[NOTE: Definition templates for Department-level GPRA performance measures are on the Internet at: <a href="http://www.doi.gov/gpra/sp_template.html">http://www.doi.gov/gpra/sp_template.html</a>]</i></p>			
<p><b>Collection standards are documented, available, and used.</b></p> <p>Protocols and methodology for data collection are documented and distributed to all responsible for data collection</p>			
Adherence to the data collection protocols is required and can be verified.			
Review and edit procedures are defined and documented			
<p><b>Data reporting schedules are documented, distributed and followed</b></p> <p>Timely data collection and reporting of both targets and actuals is mandated and enforced.</p>			
<p><b>Performance data supporting documentation is maintained and readily available.</b></p>			
<p><b>Collection staff are skilled/trained in proper procedures.</b></p> <p>Those employees or contractors responsible for either collecting or assembling data are trained for the job.</p>			
<i>Data Entry and Transfer</i>			
<b>Data entry methodology is documented and followed</b>			
Documentation of data entry procedures/ protocols is available, understood by, and used by data entry personnel.			
Data sources are identified and assumptions about sources are documented.			

Data is entered one time only and corrected by the original entrant (exceptions must be documented).			
<b>Data are verified</b>			
Calculations are checked.			
Data is checked for obvious inaccuracies (e.g. Feb. 31) and against business rules and other edits.			
Data is re-checked against source info (folders, case files, etc.).			
<b>Procedures for making changes to previously entered data are documented and followed.</b>			
<b>Data (targets and actuals) are available when needed for measure reporting and other critical decision-making cycles.</b>			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Data Security and Integrity</i>			
<b>Duplicate copies or back-up system for data exists -- as it relates to the data collected/entered at the Field or Regional level.</b>			
Procedures, including frequency of back up system use, are documented and followed. Disaster recovery plan is in place.			
<b>Data security protocols are in place and effective -- as it relates to the data collected/entered at the Field or Regional level.</b>			
Appropriate firewalls/password protection, access levels, etc. are established. Security authority is established for those responsible for data entry.			
<b>Equipment and program reliability cannot compromise data accuracy -- as it relates to the data collected/entered at the Field or Regional level.</b>			
<b>Accountability for data integrity clearly rests with the person entering the data, and the responsible program specialist and manager.</b>			
Checklist Item	Yes	No	Comments (describe evidence of yes or no answer)
<i>Data Quality and Limitations</i>			
<b>Accuracy limits of all data are defined.</b>			

Estimated data are identified. Methodology for estimation is documented and is supportable.			
Use of estimates are minimized.			
Data with margins of error due to accuracy of instrumentation or interpretive leeway, are identified and margin of error (e.g. +/- 1%) is reported.			
Incomplete data are identified as such and extent of missing data is reported.			
Preliminary data are identified and qualifications on data are described.			
<b>Any other data limitations are explained and documented.</b>			
<b>Method for handling anomalous data is established and used.</b> Data that appears to be incongruous compared to most other data obtained is analyzed and explained.			
<b>Use of externally controlled data is documented.</b>			
Need to use external data is established. External data is identified as such.			
Degree of completeness and limitations of external data are documented.			
<b>Checklist Item</b>	<b>Yes</b>	<b>No</b>	<b>Comments (describe evidence of yes or no answer)</b>
<i>Oversight and Certification</i>			
<b>Accountability for data accuracy exists in performance standards.</b> Accountability resides with all employees responsible for accuracy of data.			
<b>Responsible officials certify that <u>procedures</u> have been checked each reporting period for both setting targets and reporting actuals.</b> Signed certifications are filed.			
<b>Responsible officials certify that <u>data accuracy</u> has been checked each reporting period for both setting targets and reporting actuals.</b> Signed certifications are filed.			