

OST DIRECTIVES TRANSMITTAL SHEET

(Modified DI -416)

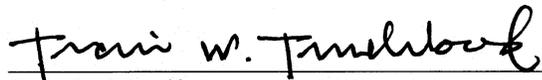
DOCUMENT IDENTIFICATION NUMBER	SUBJECT	RELEASE NUMBER
702 DS 3	Data Validation and Verification Standards	14-10
FOR FURTHER INFORMATION		DATE
Deputy Special Trustee - Business Management		MAR 04 2015

EXPLANATION OF MATERIAL TRANSMITTED:

This Chapter provides standardized data validation and verification procedures to help ensure that reported performance and financial data are accurate and complete for the Office of the Special Trustee for American Indians (OST).

This Chapter has been reformatted to align with the current OST Directives System, and it has been revised as follows:

- Paragraph 1.6: *True*
- Paragraph 1.6E4: *True*



Chief of Staff
Office of the Principal Deputy Special Trustee

FILING INSTRUCTIONS:

Remove: 090 OM 2 and
090 OM 2, Appendix 1

Insert: 702 DS 3

1.1 Purpose. The intent of this chapter is to utilize standardized data validation and verification procedures to help ensure that reported performance and financial data are accurate and complete for the Office of the Special Trustee for American Indians (OST).

1.2 Scope. This policy applies to all OST programs and offices.

1.3 Policy. It is the policy of OST to compile and publish accurate and reliable performance and financial data that may be relied upon in the decision making process.

1.4 Authority.

A. Statutory.

- 1) **31 U.S.C. §101, et seq.,** The Government Performance and Results Act (GPRA) of 1994, P.L. 103-356
- 2) **31 U.S.C. §801, et seq.,** The Federal Managers' Financial Integrity Act (FMFIA) of 1982, P.L. 104-208
- 3) **Executive Order (E.O.) 13450,** Improving Government Performance

B. Guidance.

- 1) **Office of Management and Budget (OMB) Circular A-123,** as revised (Internal Controls)
- 2) **Department of the Interior Data Validation and Verification Assessment Matrix,** January 2003

1.5 Definitions.

A. Validation. Data validation is assessing whether data collected and measured are a true reflection of the performance being measured and having a clear relationship to the mission of the organization.

B. Verification. Data verification includes assessing data accuracy, completeness, consistency, availability, and internal control practices that serve to determine the overall reliability of the data collected.

1.6 Requirements and Responsibilities.

A. Validation of performance and financial goals and measures - OST Officials will:

- 1) Ensure that all performance and financial goals are appropriate to OST's mission.
- 2) Ensure that all performance and financial measurements associated with each goal are relevant.
- 3) Set goals that are achievable in the time frame established and neither too aggressive in its expectations or set too low for easy achievement.
- 4) Clearly define performance and financial goals and measures such that they are unambiguous and understandable to users.

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- 5) Assign each goal and measure to a manager who has the responsibility for achieving it.
- 6) Utilize each goal and measure in periodic decision making and evaluate each on at least an annual basis for continued use.

B. Verification of performance and financial goals and measures - OST Officials will:

- 1) Ensure that written source data definitions are distributed to all staff responsible for specific data collection.
- 2) Verify that each responsible office can document adherence to source data definitions and that definitions and standards are used consistently across all locations.
- 3) Ensure that written data collection procedures and methodology are documented and distributed to all staff responsible for specific data collection.
- 4) Verify that each responsible office can document adherence to data collection procedures and methodology and that both are used consistently across all locations.
- 5) Prescribe data collection review and edit procedures that must be followed at each location.
- 6) Distribute data reporting schedules to all concerned and mandate timely compliance.
- 7) Require that supporting documentation (written or electronic) for the data collection is maintained and readily available.
- 8) Provide data collection training to staff responsible for these duties.

C. Data entry and transfer - OST Officials will:

- 1) Ensure that data entry procedures and protocols are documented in writing, used consistently across all locations, and the data sources and assumptions are identified.
- 2) Verify calculations and check data for consistency and obvious inaccuracies.
- 3) Document procedures for making changes to previously entered data and verify adherence.

- 5) Provide data entry training to staff responsible for these duties.

D. Data security and integrity - Director of Information Resources and Responsible - OST Officials will:

- 1) Prepare and implement a disaster recovery plan and specify procedures for saving electronic data files to ensure they are backed up on a regular basis.
- 2) Establish and maintain information technology security policies and procedures to ensure data access is available only to authorized users.
- 3) Maintain information technology system reliability to avoid compromising data integrity.
- 4) Require accountability for data integrity and safeguarding of data from analysts and supervisory personnel.

E. Documenting data quality and limitations - OST Officials will:

- 1) Minimize the use of estimated data. Ensure that estimated data are identified and that the methodology is documented and supportable.
- 2) Explain any other data limitations and ensure that they are documented.
- 3) Verify that a methodology for handling data anomalies is established and used.
- 4) Review data accuracy and quality quarterly.
- 5) Identify the need for any externally controlled data and document its specific uses, limitations, and degree of completeness.

F. Oversight and certification for data verification - OST Officials will:

- 1) Incorporate accountability for data accuracy in performance standards for all responsible employees.
- 2) Certify that established procedures were followed each reporting period.
- 3) Certify that data accuracy has been checked each reporting period.
- 4) Ensure that signed certifications are maintained on file.