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Appendix A: SEC Divisions and Offices

Headquarters Offices

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DIVISION OF TRADING AND MARKETS

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OFFICE OF ACQUISITIONS

Vance Cathell, Director
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OFFICE OF SUPPORT OPERATIONS

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Appendix B: Verification and Validation of Performance Data

The SEC's programs require accurate data to properly assess program performance and to make good management decisions. The SEC performs data verification and validation to evaluate whether data has been generated according to specifications, satisfy acceptance criteria, and is appropriate and consistent with its intended use. Data verification is a systematic process for evaluating a dataset compared to a series of standards regarding its completeness, correctness, and consistency, using the methods and criteria defined in the project documentation. Data validation follows the data verification process and uses information from the project documentation to ascertain the usability of the data in light of its objectives and to ensure that results obtained are scientifically defensible.

The SEC ensures that the performance data presented in this report is complete, reliable and accurate based upon the following assessment steps:

- (1) The agency develops performance measures through its strategic planning process.

- (2) The SEC's divisions and offices perform steps to ensure that data used in the calculation of performance measures is accurate and reliable, including adequately documenting:
 - the sources of the underlying data elements, and the procedures used to gather the data;
 - the procedures used to obtain assurance as to the accuracy and reliability of the data; and
 - the data definitions for reference, as well as the measure calculations.
- (3) The divisions and offices calculate and report the performance measures to the Office of Financial Management, and the measures are approved by division directors and office heads. This process ensures that the data used in the calculation of performance measures is accurate and reliable and that internal control is maintained through the approval process.