DVU Verification Procedures (Review Steps by DVU)

Below is the standard DVU process. Exceptions from the standard review process may be made at the discretion of the Chief Compliance Officer (together with Office of the Provost and/or University Counsel) when deemed reasonable given the volume of the review, timing of required submission, and/or nature of the supporting data and materials being submitted. Such exceptions may include Ethics and Compliance Office personnel involvement in data review and analysis. Documentation of any exception shall be maintained on file with the Ethics and Compliance Office.

1. Situations will be reviewed on a case-by-case basis.
2. The Analyst should inform the submitter of the issues and/or missing items and request sufficient information to close the gaps. If DVU makes attempts to follow up with requestor that go without a response for 4 weeks, the request will drop off the list of active reviews.
3. Re-performance may include re-performing calculations, running pivot tables, etc.
4. If there are large variances that aren’t initially explainable by known changes to the current landscape, analyst reaches out to Submitter to confirm the complete and accurate population of data was captured.

Start: Submit a review to DVU

Does DVU believe it is able to meet the specified deadline given the nature of the review and current workload?

- Yes
- No

Analyst may escalate the issue to the DVU Manager and/or Chief Compliance Officer.

Does DVU Manager or Chief Compliance Officer believe that an extension must be requested and/or DVU review must be modified to meet the deadline?

- Yes
- No

DVU informs submitter of the extension and/or modifications to DVU review per the guidance of the DVU Manager and Chief Compliance Officer.

DVU Analyst will perform an initial check of the nature, volume, and timing of required submission, and determine reasonableness of DVU being able to meet the deadline.

- Yes
- No

Analyst reviews draft materials for in-scope statements and data points. For each item, analyst identifies the data source.

Was the data generated internally (i.e., from Temple systems)?

- Yes
- No

Analyst identifies system(s) used to produce the metric.

Are variances noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Are there variances between the output and the source data?

- Yes
- No

Analyst escalates the issue to the DVU Manager and/or Chief Compliance Officer.

Analyst verifies that the query parameters/logic supports the question asked/information provided.

Are issues or concerns noted?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Analyst verifies that the system output ties to the source data provided.

Are there variances between the DVU analysis and the proposed metric?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Are there variances between the output and the source data?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst verifies that the logic and population are comprehensive.

Are variances noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst verifies that the analysis produces the same metric as the proposed figure.

Are variances noted between the DVU analysis and the proposed metric?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst documents pertinent information in the working papers.

Are there variances between the DVU analysis and the proposed metric?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst performs verification steps for each data item contained in the submission.

Are there variances between the output and the source data?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Are variances noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst compares current year data to prior year data.

Are variances noted between the output and the source data?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Analyst documents pertinent information in the working papers.

Does DVU believe it is able to meet the specified deadline given the nature of the review and current workload?

- Yes
- No

Analyst may escalate the issue to the DVU Manager and/or Chief Compliance Officer.

Does DVU Manager or Chief Compliance Officer believe that an extension must be requested and/or DVU review must be modified to meet the deadline?

- Yes
- No

DVU informs submitter of the extension and/or modifications to DVU review per the guidance of the DVU Manager and Chief Compliance Officer.

DVU Analyst will perform an initial check of the nature, volume, and timing of required submission, and determine reasonableness of DVU being able to meet the deadline.

- Yes
- No

Analyst reviews draft materials for in-scope statements and data points. For each item, analyst identifies the data source.

Was the data generated internally (i.e., from Temple systems)?

- Yes
- No

Analyst identifies system(s) used to produce the metric.

Are variances noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Are issues or concerns noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Analyst verifies that the logic and population are comprehensive.

Are issues or concerns noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Are variances noted between the output and the source data?

- Yes
- No

Analyst escalates the issue to the DVU Manager and/or Chief Compliance Officer.

Analyst verifies that the analysis produces the same metric as the proposed figure.

Are issues or concerns noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Analyst verifies that the system output ties to the source data provided.

Are variances noted between the output and the source data?

- Yes
- No

Analyst escalates the issue to the DVU Manager and/or Chief Compliance Officer.

Analyst verifies that the logic and population are comprehensive.

Are issues or concerns noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Are variances noted between the output and the source data?

- Yes
- No

Analyst escalates the issue to the DVU Manager and/or Chief Compliance Officer.

Analyst verifies that the analysis produces the same metric as the proposed figure.

Are variances noted between the DVU analysis and the proposed metric?

- Yes
- No

Analyst reaches out to Submitter to resolve issues noted.

Are issues or concerns noted with the query parameters or rationale used?

- Yes
- No

Analyst reaches out to Submitter to resolve questions or issues noted.

Process Is Complete

Yes

No

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