Information Quality Guidelines

1. **Purpose.** The Merit Systems Protection Board (MSPB or the Board) issues these Information Quality Guidelines to describe the agency's procedures for ensuring the quality of information that it disseminates to the public and to set forth the administrative procedure by which an affected person may obtain correction of disseminated information that does not comply with these Guidelines or the government-wide guidelines issued by the Office of Management and Budget (OMB). The purpose of these Guidelines is to ensure that information disseminated by the MSPB: (1) is presented in an accurate, clear, complete, and unbiased manner; (2) is useful to the intended users; and (3) is protected from unauthorized access or revision.

2. **Authority.** Section 515 of the Treasury & General Government Appropriations Act for FY 2001 (Public Law No. 106-554) requires each Federal agency to publish guidelines for ensuring and maximizing the quality, objectivity, utility, and integrity of information that it disseminates to the public. Each agency's guidelines must be based on the government-wide guidelines issued by OMB. After seeking comment on proposed government-wide guidelines, OMB published final guidelines (with certain provisions published on an interim final basis) in the Federal Register on September 28, 2001 (66 FR 49718). Revised final guidelines were published by OMB on January 3, 2002 (67 FR 369), then republished with corrections on February 22, 2002 (67 FR 8452).

3. **Effective Date.** October 1, 2002.


5. **Applicability.**

   a. **Relationship between the Board’s mission and information disseminated.** The Merit Systems Protection Board has two statutory missions—to adjudicate Federal employee appeals of certain agency personnel actions and other matters over which the Board has jurisdiction, and to conduct studies of the civil service and other merit systems in the Executive Branch of the Federal Government. Because of the nature of these statutory missions, the MSPB produces little information that is intended for dissemination to the general public. Disseminated information regarding the Board's adjudicatory mission is intended primarily for Federal employees and agency managers. However, certain matters may be appealed to the Board by applicants for employment, former employees, and annuitants. In addition, appellants may be represented in Board proceedings by attorneys in private practice, union representatives, or others who are not Federal employees. Disseminated information regarding the Board's merit systems studies is also intended primarily for a Federal audience,
but is disseminated to a broader secondary audience—including employee and public interest groups, labor unions and professional organizations, the media, and others with an interest in public personnel administration.

b. Information to which the MSPB Guidelines apply. The government-wide guidelines issued by OMB do not apply to information that is intended for dissemination only to Federal employees. Nevertheless, because certain persons who are not Federal employees may become parties or representatives in proceedings before the Board, the MSPB applies these Guidelines to all information dissemination products that are intended to familiarize appellants, Federal agencies, and their representatives with the Board's adjudicatory procedures and precedential rulings. Such information dissemination products include publications, MSPB website pages, and a video/CD-ROM that describe the Board's appellate procedures, as well as the summaries of Board decisions that are posted weekly to the MSPB website and those that are included in the agency's Annual Report. The MSPB also applies these Guidelines to reports of the Board's merit systems studies and the periodic Issues of Merit newsletter, which are intended for a broader audience than the information dissemination products dealing with the Board's adjudicatory mission. The Guidelines also apply to general information about the MSPB, such as the agency's Annual Report, its Customer Service Standards, and the MSPB website pages that describe the Board's mission, provide biographical information about the Board members, and list the addresses and telephone numbers of MSPB offices. The Guidelines apply as well to case processing statistical data that are published in the agency's Annual Report and to certain administrative information posted on the MSPB website, such as employment information and information intended for potential vendors or contractors.

c. Information excluded under the government-wide guidelines. These Guidelines do not apply to information that is specifically excluded under the government-wide guidelines published by OMB. Such information includes agency responses to FOIA and Privacy Act requests, correspondence with individuals, information that is provided in response to individual requests, and links to other website pages from the MSPB website. The Guidelines also do not apply to agency press releases, except to the extent that they contain new substantive information that has not been previously reviewed and disseminated in accordance with the Guidelines. Because the government-wide guidelines also exclude information that is disseminated in “adjudicative processes,” the MSPB Guidelines do not apply to decisions, orders, or any other adjudicatory documents issued in the course of Board proceedings. Initial decisions issued by MSPB administrative judges and administrative law judges (including administrative law judges who adjudicate MSPB cases under an inter-agency agreement) are subject to review by the Board in accordance with applicable provisions of law and regulation. Final Board decisions, including initial decisions of administrative judges and administrative law judges that become final Board decisions, are subject to judicial review in accordance with applicable provisions of law and regulation.
d. **Information excluded under the MSPB Guidelines.** The MSPB also makes available on its website certain documents that are produced in compliance with various statutory or regulatory requirements, or in response to requests from the President or Congress. Examples of such documents include Board regulations and Federal Register notices, the annual FOIA Report, the annual report (inventory of commercial activities) required by the Federal Activities Inventory Reform (FAIR) Act, testimony and statements for the record submitted to committees of Congress, and the Strategic Plan, annual Performance Plan, and annual Performance Report required by the Government Performance and Results Act (GPRA). These documents would not normally be disseminated to the general public but would be provided to a requestor in response to an individual request. They are posted to the MSPB website as a matter of convenience for potential requestors rather than for purposes of dissemination to the public in general. The Board, therefore, has determined that such documents are not information dissemination products to which these Guidelines apply, and the administrative procedure for requests for correction of information set forth in section 8 below is not applicable to such documents. With respect to testimony and statements for the record submitted to committees of Congress, however, these Guidelines apply to the extent that such testimony and statements contain new substantive information that has not been previously reviewed and disseminated in accordance with the Guidelines. It should be noted that the documents described in this section are subject to quality control procedures that are at least as stringent as those applied to the information dissemination products that are covered by these Guidelines. In fact, most documents of this kind are not only prepared by subject matter experts and reviewed by MSPB office directors, but also must be approved by the Chairman or the full Board prior to their submission or publication. Documents of this kind also are subject to existing procedures for review, generally by Congress and/or OMB, and any needed corrections to information contained in such documents can be obtained through those existing procedures.

6. **Basic Standard of Quality.** The basic standard of quality for information disseminated by the MSPB is “reasonable assurance.” The agency's procedures for ensuring the quality of information it disseminates to the public are intended to provide reasonable assurance that the information is accurate, clear, complete, unbiased, useful for intended users, and secure from unauthorized access or revision. This basic quality standard is consistent with the standard employed in internal management reviews to ensure the effectiveness and efficiency of the agency's operations.

7. **Procedures to Ensure Quality.**

   a. **General information about the Merit Systems Protection Board.** This group includes the agency’s Annual Report (which includes a review of MSPB activities in the preceding fiscal year, summaries of significant Board and court decisions issued, summaries of the reports of merit systems studies issued, certain case processing statistics, and the annual financial summary); the publication, *An Introduction to the MSPB*; the MSPB Customer Service
Standards; biographies of the Board members; and MSPB website pages that provide general information such as a description of the Board's mission, biographies of the Board members, a listing of the addresses and telephone numbers of MSPB offices, and the agency organization chart.

The agency's Annual Report is distributed in printed form to a mailing list consisting of the President, members and committees of Congress, Federal agency heads and certain other agency personnel, the media, and others who have asked to be placed on the distribution list. The publication, *An Introduction to the MSPB*, is distributed in outreach activities and in response to requests for general information. The MSPB Customer Service Standards are printed in MSPB publications. Biographies of the Board members are maintained in electronic form and are distributed in connection with outreach appearances by the Board members. All of these information dissemination products are also posted to the MSPB website.

The Office of the Clerk of the Board, which serves as the MSPB public information center, is responsible for the information dissemination products in this group. The Office of the Clerk is also the agency's liaison with the Government Printing Office (GPO), which hosts the MSPB website, and the webmaster in the Office of the Clerk is responsible for reviewing website pages on a regular basis to ensure that they are kept up to date. In general, the information dissemination products in this group are prepared by subject matter experts in the Office of the Clerk and are reviewed by a supervisor and/or the Clerk of the Board. In the case of the Annual Report, the report is developed from information provided by all MSPB offices, reviewed by all MSPB office directors, cleared by the Chief of Staff, and approved by the Chairman. The other products in this group are reviewed periodically by the responsible subject matter expert to determine whether revisions or updates are needed. Changes to the Customer Service Standards are reviewed by all MSPB office directors, cleared by the Chief of Staff, and approved by the Chairman. Changes to *An Introduction to the MSPB* and to MSPB website pages that provide general information are approved by a supervisor in the Office of the Clerk or by the Clerk of the Board. New and revised biographies require approval only by the subject of the biography.

b. **Information about the Board's adjudicatory procedures and decisions.**

This group includes the publications, *Questions & Answers About Appeals* and *Questions & Answers About Whistleblower Appeals*; the summaries of Board decisions that are posted weekly to the MSPB website and summaries of Board and court decisions that are included in the agency's Annual Report; a video/CD-ROM titled *Introduction to Federal Employee Appeals with the Merit Systems Protection Board*; and MSPB website pages that provide information about the appeals process.

The MSPB publicizes the availability of the publications in this group and the video/CD-ROM. The publications are distributed in outreach activities and in response to requests for information about the MSPB appeals process, and interested individuals are encouraged to contact the Office of the Clerk for a free
copy of the appeals process video or CD-ROM. The MSPB website pages containing the weekly summaries of Board decisions are among the most frequently accessed pages on the website.

The Office of the Clerk is responsible for the publications and the website pages in this group. These information dissemination products are prepared by subject matter experts in the Office of the Clerk and are reviewed by a supervisor and/or the Clerk of the Board. They are reviewed periodically by the responsible subject matter expert to determine whether revisions or updates are needed, and changes are approved by a supervisor in the Office of the Clerk or by the Clerk of the Board.

The Office of Appeals Counsel is responsible for both the weekly summaries of Board decisions and the summaries of significant Board decisions that are included in the Annual Report. Each weekly decision summary is prepared by a paralegal or attorney in the Office of Appeals Counsel, then forwarded to the Office of the Clerk for posting on the MSPB website. Each decision summary is linked on the website to the complete decision for a full statement of the Board's finding(s) and holding(s) in the individual case. Summaries of Board decisions prepared by the Office of Appeals Counsel for the Annual Report—and summaries of court decisions prepared for the report by the Office of the General Counsel—are subject to review by the Chief Counsels to the Board members before they are incorporated into the report.

The Office of Regional Operations is responsible for the appeals process video/CD-ROM—the newest of the information dissemination products in this group. (The Clerk of the Board is responsible for distribution of the video/CD-ROM.) The Office of Regional Operations drafted the script and circulated it to MSPB office directors for comment to ensure that the information presented was an accurate depiction of the Board's adjudicatory regulations and procedures and that it would be understandable to a pro se appellant or other individual unfamiliar with the Board's adjudicatory process. The Office also produced the video, using knowledgeable MSPB employees as narrators. A copy of the complete script is distributed with each video and CD-ROM. Because the information in the video/CD-ROM is very basic, the Office does not anticipate a need to update it unless there are changes in law or regulation affecting these basic processes. Following the initial release of the video/CD-ROM, the MSPB conducted a survey of those requesting a copy to ensure that users find it useful.

c. Case processing statistical information. At the present time, this group consists only of the case processing statistical data that are included in the MSPB Annual Report. A separate annual statistical report, titled *A Report on Cases Decided by the Merit Systems Protection Board*, was incorporated into the Annual Report beginning with the report for FY 2000. The data included in the Annual Report for each fiscal year consist of: a summary of the number of cases decided at the regional/field office/administrative law judge level and the number of cases decided by the 3-member Board, broken down by major case type; breakdowns of the number of appeals decided in the regional/field offices by the kind of agency action or decision appealed, by disposition, and by agency; and
breakdowns of the number of petitions for review decided by the Board by the kind of agency action or decision appealed, by disposition, and by agency. These statistical data are provided in tabular and graphic formats. The distribution of this information, of course, is the same as for the Annual Report.

Many statistical reports are produced from the agency's automated case management system (CMS), but only the reports providing data used in the Annual Report are disseminated. All other CMS reports are produced for internal use or to respond to individual internal or external requests for statistical data. The procedures to ensure the quality of statistical data produced from the CMS, however, are the same, regardless of the purpose of the reports produced. The quality of MSPB case processing statistical data depends on three factors—the accuracy of data entry into the system, the error checks built into the system, and the programming of reports to extract data from the system. Access controls and user IDs are employed so that only employees designated by each MSPB office may enter and update CMS data. The vast majority of MSPB employees are not authorized to enter or update CMS data at all. Those who are authorized receive training in CMS data entry and are provided with a manual containing CMS instructions and codes. Assistance for employees who enter and update CMS data is available from the CMS staff in the Office of Information Resources Management. Only authorized personnel in the regional/field offices and the Office of the Clerk are allowed to create new cases in the CMS, and an authorized user can only add cases for his or her own office. After initial case creation, only authorized users can update data, and additional checks built into the system ensure that the person updating has a reason to update that data (usually the control is that the case is physically in the user's office at the time of update). Additional error checks are employed to ensure accuracy by allowing only certain appeal type codes and closing action codes to be entered for specific types of cases. The fact that CMS data are used on a daily basis by managers and by personnel in the Office of the Clerk to check decisions issued also assists in ensuring accuracy. An additional control is that CMS data are used in the agency's performance management program both for purposes of measuring the agency's performance in meeting its goals and for measuring individual attorney and administrative judge performance. Thus, the agency's managers and staff have a stake in the accuracy of the data. All CMS reports are extensively tested and checked to ensure accuracy. Also, because these reports are used daily throughout the agency, any errors in programming are caught quickly by users and corrected by the Office of Information Resources Management staff.

d. Reports of merit systems studies and other studies-related information. This group consists of the Board's reports of its merit systems studies, the summaries of reports that are included in the MSPB Annual Report, and the periodic Issues of Merit newsletter. The Board generally issues between two and four reports of its merit systems studies each fiscal year. These reports cover a variety of topics relating to the civil service and human resources management in the Federal Government. The Issues of Merit newsletter, produced four to five times a year, presents preliminary results of current studies, articles written to inform readers about various tools and techniques used in managing human
resources, and editorial views about important Federal human resources management issues.

The Board's reports of merit systems studies are submitted to the President and Congress, as required by law. Both the reports and the newsletter are distributed in printed form to a large mailing list of Federal agency personnel, members and committees of Congress, employee and public interest groups, labor unions and professional organizations, the media, and others with an interest in public personnel administration. The reports and newsletter are also posted to the website, along with a list of previous merit systems studies reports issued by the MSPB. The distribution of the summaries of reports, of course, is the same as for the Annual Report.

The Office of Policy and Evaluation is responsible for all of the information dissemination products in this group. The basic quality standard of reasonable assurance is applied to all of these products. In addition, the standard of reproducibility applies to statistical information that is disseminated in the reports of MSPB survey results and in newsletter articles describing those results. The procedures that the Office employs to ensure information quality are similar for both the reports and the newsletter, although the process is somewhat more elaborate for the reports.

As a merit systems study progresses, staff members of the Office of Policy and Evaluation meet with the project manager(s) to discuss the project's design, direction, and any hypotheses that may have been formulated. The Director, Policy and Evaluation, and staff members provide comments and corrections to ensure that the project proceeds effectively and efficiently. This step may be repeated. The project manager drafts a report on the study results and submits a copy to each staff member for peer review. Peers review the draft, providing comments, corrections, and questions to the project manager. The project manager then considers each submission by peers and incorporates changes as appropriate. The project manager may then submit the revised manuscript to a smaller group of peers for another review, or may submit the revision directly to the Deputy Director of the Office. The Deputy Director reviews the report and returns it to the project manager for any required revisions. The revised draft is then provided to the Director, Policy and Evaluation, who performs a final review before circulating copies of the draft among the three Board members. The Board members review the draft, indicating comments, corrections, and questions, which are returned to the project manager through the Director, Policy and Evaluation. The project manager makes changes and submits a final report to the Board members. After approval by the Board members, the project manager submits the manuscript to the Policy and Evaluation Specialist who checks all facts, calculations, statistics, etc., before submitting the report for page layout (desktop publishing). After page layout is completed, the project manager checks the report prior to its submission to GPO for printing. The printer provides a proof that is reviewed before authority is given to print the report.

Articles for the newsletter are written by Office of Policy and Evaluation staff members. The articles are reviewed and edited by a staff member, then
prepared in page layout. Copies of the draft newsletter are submitted to all staff members of the Office for peer review. Peers provide comments, which are incorporated as appropriate. The revised draft is submitted to the Director, Policy and Evaluation, who provides final corrections or comments. The final draft is checked for accuracy of facts by the Policy and Evaluation Specialist, and it is then sent to GPO for printing.

The transparency of the products in this group that include survey data is assured through inclusion of clear explanations of study methodology in report texts. In addition, the raw survey data are made available to the public through the National Archives and Records Center at the conclusion of a project. Thus, the statistical information and analyses that the MSPB disseminates in its reports of merit systems studies are accessible to interested parties, and if appropriately qualified persons use the same or a similar methodology, they would be expected to generate similar findings and results.

In addition to ensuring the quality of the information dissemination products in this group, the Office of Policy and Evaluation is responsible for reviewing the MSPB website pages containing this information on a periodic basis and for advising the webmaster in the Office of the Clerk of any revisions needed.

e. Financial and administrative information. This group includes MSPB website pages that provide various kinds of financial and administrative information, including the agency's annual financial summary, budget tables, information for potential contractors and vendors, information on employment opportunities, information on MSPB videoconferencing facilities, and the FOIA Guide. Posting to the MSPB website is the principal means of dissemination for the information products in this group. The annual financial summary is included in the MSPB Annual Report, and the distribution of that information, of course, is the same as for the Annual Report.

The Office of Financial and Administrative Management is responsible for most of the information dissemination products in this group that are currently posted to the MSPB website. The information originated by the Office includes: contact information for staff members responsible for procurement, contracting, employment, etc.; information on court reporting contracts, other contracting opportunities, and current solicitations; information about the videoconferencing systems available in MSPB offices (used primarily to conduct video hearings in the Board's appellate proceedings); and information on employment opportunities. Because the MSPB has an inter-agency agreement with USDA/APHIS for human resources operational services, information on employment opportunities is provided through links to the APHIS Marketing & Regulatory Programs-Minneapolis Business Site (MRP-MBS) website. In general, the information in this group is developed by the Director, Financial and Administrative Management, or the responsible staff member in the Office (Budget Officer, Contracting Officer, Personnel Officer, Property Officer, etc.). The appropriate staff member is responsible for reviewing the information, as needed, and transmitting any required changes or updates to the webmaster in the Office of the Clerk or, in the case of employment information, to APHIS/MPR-
MBS. Changes will be made, for example, when there are changes of personnel or reassignment of responsibilities in the Office; when new solicitations for contractor services are issued; or when the application period for a vacant position closes.

The Office of Financial and Administrative Management is also developing a page for the website to announce the availability of surplus computer equipment, in accordance with Executive Order 12999. This information will be updated each time surplus computer equipment is ready for transfer and will be removed within 5 business days of the close of the application period.

The Office of the Clerk of the Board is responsible for the FOIA Guide. This information dissemination product is developed by the FOIA Officer, who is also responsible for reviewing and updating it as needed.

Any other financial and administrative information added to the MSPB website in the future will be subject to the same kind of quality control procedures as the information currently in this group.

f. **Integrity of information on the MSPB website.** As described above, MSPB office directors and appropriate subject matter experts in their offices are responsible for ensuring that accurate, complete, and current information in each office’s area of responsibility is provided to the webmaster in the Office of the Clerk for posting to the MSPB website. The webmaster is responsible for ensuring that information submitted for the website is accepted only from an authorized person in the submitting office. The webmaster is also responsible for ensuring that the information is provided in an appropriate format, including a format that meets Section 508 accessibility requirements, and that any technical problems have been resolved before the information is transmitted to GPO, the host of the MSPB website. After transmission to GPO, the MSPB relies on GPO security procedures to protect the integrity of information posted to the MSPB website.

g. **Use of disclaimers.** As a part of its procedures to ensure information quality, the MSPB uses disclaimers where appropriate. A general disclaimer notice regarding the accuracy and timeliness of information provided on the MSPB website is included on the website. A disclaimer notice is included with summaries of Board decisions to advise users that the summaries are descriptions prepared by individual MSPB attorneys, that they do not represent official summaries approved by the Board itself, that they are not intended to provide legal counsel or to be cited as legal authority, and that they are provided only to assist users in locating precedential Board rulings. The publications, Questions & Answers About Appeals and Questions & Answers About Whistleblower Appeals, include disclaimers advising users that the publications describe the Board’s appellate procedures in typical proceedings only and that the information is not regulatory in nature. Other disclaimers may be used, as appropriate, in future information dissemination products.

8. **Requests for Correction of Disseminated Information.** This section sets forth the administrative procedure by which an affected person may obtain
correction of information disseminated by the MSPB that does not comply with its Information Quality Guidelines or the government-wide guidelines issued by OMB. This administrative procedure applies only to requests for correction of disseminated information to which these Guidelines apply, as described in section 5 above. This administrative procedure applies to such information disseminated by the MSPB on or after October 1, 2002, regardless of when the information was first disseminated. However, the administrative procedure does not apply to information disseminated prior to October 1, 2002, that is maintained by the MSPB as archived information (e.g., annual reports and reports of merit systems studies that were disseminated prior to October 1, 2002, but are still made available on the MSPB website). Only requests from an “affected person,” that is, a person who uses and may benefit from or be harmed by reliance on information disseminated by the MSPB under these Guidelines, will be considered. Requests for correction of information that are made in bad faith or without justification will be rejected. This procedure for the correction of information is not intended to have any effect on the Board's adjudication of cases under its appellate or original jurisdiction.

a. Request for correction. A request for correction of disseminated information that allegedly does not comply with the MSPB Information Quality Guidelines or the government-wide guidelines issued by OMB must be submitted, in writing, to the Clerk of the Board, Merit Systems Protection Board, 1615 M Street, NW, Washington, DC 20419; by facsimile to 202-653-7130; or by e-mail to mspb@mspb.gov. The request for correction must specifically identify the disseminated information that allegedly does not comply with the MSPB Guidelines or the government-wide guidelines and explain how the requestor is affected by the information. The requestor bears the burden of proof regarding both the need for correction of the disseminated information and the type of correction requested.

b. Initial decision. The Clerk of the Board, or designee, will review a request for correction of disseminated information and will issue a written initial decision to the requestor within 60 workdays of receipt of the request. If more time is required, the Clerk of the Board, or designee, will inform the requestor, explain why more time is needed, and provide an estimate of the date on which an initial decision will be issued. The initial decision will advise the requestor of corrections made or, if the request is denied, will explain why no correction was made and advise the requestor of the right to appeal the initial decision.

c. Appeal to the Chief Information Officer. A requestor may appeal an initial decision denying a request for correction of disseminated information to the Chief Information Officer (CIO) of the Board. The appeal must be submitted, in writing, to the Chief Information Officer, Merit Systems Protection Board, 1615 M Street, NW, Washington, DC 20419; by facsimile to 202-653-7130; or by e-mail to mspb@mspb.gov. The appeal must be submitted no later than 60 workdays from the date of the initial decision. The appeal must include a copy of the request for correction, a copy of the Clerk's initial decision, a statement of the reasons why the decision is not satisfactory to the requestor, and a statement of
what remedy would be satisfactory to the requestor. The CIO will issue a decision within 60 workdays of receipt of the appeal. The decision of the CIO is final and is not subject to administrative or judicial review.

d. Reports. Beginning on January 1, 2004, and annually thereafter, the Board will file reports with OMB that provide the number and nature of complaints received regarding information disseminated by the MSPB and how the complaints were resolved.

9. Information Quality Page on Website. The MSPB will maintain an Information Quality page on its website (www.mspb.gov). This page will contain the MSPB Information Quality Guidelines and a summary of the procedures for an affected person to request correction of disseminated information and to appeal an initial decision on such a request (section 8 of the Guidelines). The page may also contain other information quality-related items, such as a description of significant corrections of information that the MSPB has made as a result of the correction procedures. After January 1, 2004, the Information Quality page will also contain the annual reports filed with OMB, as described in section 8.d above.

10. Revisions to the Guidelines. Each MSPB office that produces information dissemination products to which these Guidelines apply is responsible for notifying the Clerk of the Board whenever a change in the Guidelines with respect to the office’s products is required. Changes may be required, for example, when a new information dissemination product is created or an existing product is discontinued, or when there is a change in the office’s procedures for ensuring the quality of an information dissemination product for which the office is responsible. The Clerk of the Board will initiate necessary changes to the Guidelines for approval by the Chief Information Officer. When changes to the Guidelines are made, a revised version will be posted to the MSPB website.

APPROVED: Richard Banchoff, Chief Information Officer

DATE: September 30, 2002