



UNITED STATES DEPARTMENT OF LABOR
Division of Older Worker Programs

**SENIOR COMMUNITY SERVICE
EMPLOYMENT PROGRAM
(SCSEP)
DATA VALIDATION HANDBOOK**

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I. INTRODUCTION

The Senior Community Service Employment Program (SCSEP) is a part-time employment training program for low-income individuals aged 55 and over. Overseen by the U.S. Department of Labor's (DOL) Employment and Training Administration (ETA), Division of Adult Services (DAS), the SCSEP program is run by grantees and their sub-grantees. It is authorized under Title V of the Older Americans Act of 1965, as amended.

In order to improve their job skills, SCSEP participants are placed with community and government agencies for training. Based on the level of their skills, they may also receive specialized training. Grantees and their sub-grantees are responsible for tracking the progress of their participants through the SCSEP and for reporting that information to the DAS. From the data that are submitted, DAS generates Quarterly Performance Reports (QPRs) at the sub-grantee, grantee, and nationwide levels to monitor program progress.

In 2004, DAS provided the SCSEP Data Collection Software (DCS) to grantees and sub-grantees because most had limited data collection and reporting capabilities. Developed by Mathematica Policy Research, Inc., the DCS application allowed grantees to enter, store, and manage the SCSEP participant data required by DAS. Grantees submitted their data on a quarterly basis to DAS via the SCSEP Performance And Results QPR (SPARQ) system, the national SCSEP database. In 2005, DAS authorized the development of a web-based version of the DCS to be integrated with the existing SPARQ database. That enhanced version of SPARQ, version 2.0, was implemented in June 2006. Further enhancements led to SPARQ version 3.0 in August 2007 to address legislative changes, as well as to provide additional management tools and reports for grantees to use in their evaluation of sub-grantee performance¹.

In December 2007, data validation (DV) functionality was added to SPARQ. This functionality supports the ETA's DV initiative for SCSEP that was announced at the grantee meeting in July 2007 in Kansas City, MO. The DV initiative requires that all grantees validate the information that is used to establish participant eligibility and to measure grantee performance.

In August 2008, DOL established the SPARQ User Group, which consists of state and national grantees and sub-grantees. The first topic covered by the SPARQ User Group was SCSEP DV. The DV requirements and functionality were revised to reflect the results of an extensive dialogue with the SPARQ User Group, in which each of the data elements subject to validation was closely examined. The revised list of data elements and source documentation requirements were distributed to all grantees. As of November 1, 2008, all new enrollees and all follow-ups used in performance measures are subject to these validation requirements.

¹ Improvements are continuously made to SPARQ, the last major release being SPARQ 4.0 in April 2009.

A. TIMING OF DATA VALIDATION

SCSEP DV will begin each year after the PY data are finalized and the final QPR is calculated for each grantee. Table I.1 and Table I.2 provide additional details on the timing of the SCSEP eligibility and performance DV.

TABLE I.1

TIMING OF SCSEP ELIGIBILITY VALIDATION

If Initial Assignment Date is between	Could be in Eligibility Sample for PY
12/1/2008 and 6/30/2009	2008 (Validation begins January 2010)
7/1/2009 and 6/30/2010	2009 (First full PY validation begins October 2010)
7/1/2010 and 6/30/2011	2010 (Validation begins October 2011)
7/1/2011 and 6/30/2011	2011 (Validation begins October 2012)

TABLE I.2

TIMING OF SCSEP PERFORMANCE VALIDATION

If Exit Date is between	Could be in Performance Sample for PY
7/1/2007 and 6/30/2008	2008 (Validation cycle begins January 2010)
12/1/2008 and 6/30/2009	2009 (Validation begins October 2010)
7/1/2009 and 6/30/2010	2010 (First full PY validation begins October 2011)
7/1/2010 and 6/30/2011	2011 (Validation cycle begins October 2012)

B. OVERVIEW OF HANDBOOK

The handbook proceeds as follows:

- Chapter II provides an overview of DV, describes how the samples are drawn, and explains the validation preparation responsibilities of key grantee staff.
- Chapter III describes step by step instructions that grantees need to access and use the DV utility within SPARQ, and how to obtain the necessary source documentation and complete each worksheet.
- Chapter IV provides details for every data element to be validated, including the validation rules and definitions of source documents.

After reviewing this handbook, grantees should email any policy questions to their Federal Project Officer and copy The Charter Oak Group at olderworker@charteroakgroup.org with any policy questions.

For technical questions about the DV process, please contact Mathematica Policy Research, Inc. at scsep@mathematica-mpr.com.

II. OVERVIEW OF SCSEP DATA VALIDATION

II. OVERVIEW OF SCSEP DATA VALIDATION

SCSEP DV is an efficient method for monitoring sub-grantee and local area data collection, reporting, and performance. By having all SCSEP grantees perform a standardized DV methodology, ETA is able to support the quality of the information used to assess the effectiveness of the SCSEP program. More specifically, DV is designed to accomplish the following goals:

1. Provide tools that help grantees analyze participant eligibility and the causes of performance successes and failures.
2. Match data elements against source documents to verify compliance with federal definitions, which provides grantees the opportunity to correct any identified problems.
3. Ensure that critical eligibility and performance data used to meet ETA's Government Performance and Results Act (GPRA) responsibilities and that grantees' Congressionally-mandated performance goals are reasonably accurate by calculating an error rate for each data element validated.
4. Minimize the burden on grantees by providing a web-based DV system that displays individual participant records by grantees or sub-grantees and provides built in random samples, validation worksheets, and automated validation reports.
5. Further minimize the burden on grantees by selecting the smallest possible validation samples necessary to calculate valid error rates.

II. OVERVIEW OF SCSEP DATA VALIDATION

A. SELECTING DATA ELEMENTS TO VALIDATE

DV assesses the accuracy of key data elements in SPARQ used to calculate the SCSEP QPRs by examining a sample of participant records. When a participant record is selected for validation, grantee staff compare specified data elements in SPARQ to source documentation located in case files for that participant.

DV results in an estimated error rate for each data element selected for validation. Data elements are selected for validation based on two factors:

1. Feasibility—ETA can validate data elements only where it is practical and efficient to locate and examine supporting evidence within the grantee case files. Therefore, data elements such as race, ethnicity, and gender are not validated because these elements are self-reported by participants and it is not practical to locate the participants to verify these characteristics.
2. Importance—Data elements are selected for validation based primarily on their importance to the integrity of the individual participant records, for generating performance outcomes, and for calculating the QPRs. All data elements selected for validation are used to determine program eligibility or to calculate grantee performance in the QPRs.

The complete list of data elements to be validated for the eligibility sample and the performance sample are included in Chapter IV.

II. OVERVIEW OF SCSEP DATA VALIDATION

B. SELECTING SAMPLES OF PARTICIPANT RECORDS TO VALIDATE

DV is designed to measure grantee data accuracy on as timely a basis as possible. Validation of performance cannot be conducted until the retention rates have been finalized, which is up to seven (7) quarters after a participant exits the program. Consequently, it would be impossible to develop timely validation results for the data elements used to support program eligibility if a single sample of participants was drawn for validation. In that case, the eligibility data might have been captured several years before the validation would be done. Therefore, the SPARQ DV process will select two separate samples of participant records, both of which will be validated at the same time.

1. Eligibility Sample

The eligibility sample is a simple random sample. It validates those data elements used to demonstrate program eligibility for a sample of participants who enrolled in SCSEP during the PY being validated. In order to ensure timely feedback to the grantee on data quality and to limit the number of community service assignments (CSA) to be validated, all CSA data that can be collected during the first year of an enrollment will be validated as part of the eligibility sample. Enrollments that were transferred between grantees are not sampled.

2. Performance Sample

The performance sample is a stratified sample. It validates those data elements used in the performance calculations for a sample of participants whose final performance was included in the QPR for the PY being validated. Data collected at re-certification and for waiver of durational limits is also validated in this sample, since that data is more likely to be included in the records of the performance sample than of the eligibility sample. The stratified nature of the performance sample is similar to a simple random sample, except for the fact that each record is assigned a weight and records are selected based upon their weight. For example, a participant who has an unsubsidized employment (UE) record with wages in each of the three quarters after exit is assigned a weight of 3; a participant who has a UE record with wages in the first quarter after exit, but not all three quarters is assigned a weight of 2; and, all other participants whose final performance is included in the QPR for the PY are assigned a weight of 1. Enrollments that were transferred between grantees are not sampled.

3. Records Sampled without Regard to Sub-grantee

Participant records are randomly sampled at the grantee level, without regard to the sub-grantee. The process for selecting eligibility samples and performance samples is completely separate. Therefore, it is likely that many sub-grantees may not have any records sampled at all and that some sub-grantees may have performance samples but not eligibility samples or vice versa.

It is possible for data from an old sub-grantee that no longer operates the program to be included in the sample. All data used in the SCSEP annual report to Congress is subject to validation. Grantees are responsible for all data generated by all of their sub-grantees, and are required to maintain the records of former sub-grantees.

II. OVERVIEW OF SCSEP DATA VALIDATION

4. Records Sampled without Regard to ARRA funding.

Grantee level samples of participant records are drawn without regard to whether or not the participant is funded with American Recovery and Reinvestment Act (ARRA) funds.

Recovery Act funds are tracked as separate grants with separate grantee codes in SPARQ. For the purposes of DV, all participants whose records are administered by a particular grantee are sampled together. For the current DV cycle, only the eligibility sample will include ARRA participants. Individual records within a grantee's eligibility sample are labeled by their funding source (regular or recovery) in the participant list screen under the worksheet tab in the DV screen.

The benefit of sampling regular and recovery funded participants together is that the overall number of records sampled is smaller than it would be if the samples were drawn separately.

5. Sample Sizes Vary by Grantee Size

The sampling process is designed to select the smallest random sample that will produce valid results. Sample sizes for both eligibility and performance will vary by grantee size. Grantees with fewer enrollees or exiters will have smaller sample sizes but will validate a higher proportion of cases than larger grantees. This is because as the number of records in the population increases, the proportion that must be reviewed to obtain valid estimates of error rates decreases. To reduce this relative burden, ETA requires less precision for the validation results for smaller grantees.

For smaller grantees, the validation results will be within plus or minus 4 percent of the actual error rates. For larger grantees, the validation results will be within plus or minus 3.5 percent of the actual error rates.² To further limit the potential burden on grantees, ETA has set a maximum sample size for the performance measures at 250 records.³ In addition, grantees will never validate the same data element twice even if the same participant is selected in the two samples in different years because there are different data elements being validated in the two samples

As shown in Table II.1, the eligibility sample size is based on the number of participants who were enrolled in the program during the PY. For example, if a grantee has 399 participants who enrolled in the program during the PY, SPARQ selects an eligibility sample of 89 records to validate in order to provide a level of precision of 4 percent. If a grantee has 1,000 participants who enrolled in the program during the PY, SPARQ selects an eligibility sample of 130 records to validate in order to provide a level of precision of 3.5 percent.

² The level of precision is stated as the half-width of the confidence interval with 95 percent certainty. Therefore, we can be 95 percent certain that if the measured error rate for a large grantee is 5 percent, then the real error rate is +/- 3.5 percent, which is between 1.5 percent and 8.5 percent.

³ An artificial maximum sample size is not needed for the eligibility measures because the nature of the sample (e.g. simple random sample) and the calculation to determine its size will produce, at most, 149 records.

II. OVERVIEW OF SCSEP DATA VALIDATION

Similarly, as shown in Table II.2, the performance sample size is also based on the number of participants whose final performance was reported during the PY. For example, if a grantee has 100 participants whose final performance was reported during the PY, SPARQ selects a performance sample of 70 records to validate in order to provide a level of precision of 4 percent. If a grantee has 500 participants whose final performance was reported during the PY, SPARQ selects a performance sample of 187 records to validate to provide a level of precision of 3.5 percent.

TABLE II.1

ELIGIBILITY SAMPLE SIZES PER GRANTEE

Number of Participants Enrolled During PY	Sample Size	Level of Precision
1 – 99	1 – 53	4.0%
100 – 199	54 – 73	4.0%
200 – 299	73 – 83	4.0%
300 – 399	83 – 89	4.0%
400 – 549	109 – 118	3.5%
550 – 699	118 – 123	3.5%
700 – 849	123 – 127	3.5%
850 – 999	127 – 130	3.5%
1,000 – 1,999	130 – 139	3.5%
2,000 – 4,999	139 - 145	3.5%
5,000 +	145 – 149	3.5%

TABLE II.2

PERFORMANCE SAMPLE SIZES PER GRANTEE

Number of Exiters with Final Performance Reported During PY	Sample Size	Level of Precision
1 – 99	1 – 70	4.0 %
100 – 199	70 – 107	4.0 %
200 – 299	107 – 130	4.0 %
300 – 399	130 – 146	4.0 %
400 – 499	146 – 157	4.0 %
500 – 749	187 – 214	3.5%
750 – 999	214 – 230	3.5%
1,000 – 1,250	230 – 241	3.5%
1,251 – 1,516	241 – 249	3.5%
1,517 +	250	3.5%

II. OVERVIEW OF SCSEP DATA VALIDATION

6. A Note on Final Performance

The performance sample is based on the number of records where final performance was reported during the PY. Figure II.1 identifies four groups of participants who all exited during the previous PY, yet whose last follow-up occurred during the PY being validated. For example, a participant in the **Exiters 2** cohort exits the program during the second quarter of the previous PY. A grantee is required to perform only the first follow-up (**FU1**) with that participant by the end of that PY. That grantee would be required to perform the second follow-up (**FU2**) and the third follow-up (**FU3**), which constitutes final performance, before the end of the PY being validated. Similarly, a participant in the **Exiters 4** cohort exits the program during the fourth quarter of the previous PY. In this scenario, however, a grantee is required to perform all three follow-ups with that participant by the end of the PY being validated.

FIGURE II.1
FINAL PERFORMANCE (FU3) DURING PROGRAM YEAR

	Previous Program Year				Program Year Being Validated			
	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4
Exiters 1	EXIT	FU1			FU2 FU3			
Exiters 2	EXIT		FU1		FU2 FU3			
Exiters 3	EXIT			FU1	FU2 FU3			
Exiters 4	EXIT				FU1			FU2 FU3

II. OVERVIEW OF SCSEP DATA VALIDATION

C. SUMMARY OF SCSEP DV PROCESS

All data to be validated will be displayed on summary and individual worksheets, which are accessed through SPARQ using the usual login procedures. Sub-grantees and local grantee staff will not be able to access the worksheets so that the integrity of the validation process is not compromised. Grantee validation staff will validate each data element on the worksheet by reviewing source documents to verify compliance with federal definitions. Again, sub-grantee staff are not permitted to participate in the validation effort. Grantee validation staff will then indicate the results by marking pass or fail for each of the data elements. The worksheets in SPARQ will display the data submitted to SPARQ by the grantee for the participant. The online worksheet will clearly indicate which data elements need to be validated.

Validation can be conducted on-site or at a central location, although on-site reviews allow better access to information and better communication with the sub-grantee and local grantee staff responsible for the data. Communication with the sub-grantee and local grantee staff, however, should not include discussions as to whether an element should pass or fail.

If validation is conducted on-site, grantees should notify sub-grantee and local project staff well in advance of when the validation will occur to ensure that local staff are available to assist in the validation. If the sub-grantee is small, no notice of the actual sampled files should be given since the records will be easy to locate. Otherwise, grantees should inform local staff which records have been sampled no more than 5 business days in advance of the specific files that will need to be retrieved. This will make the review more efficient, while minimizing the possibility for changes to the case files. Sub-grantees must be instructed not to make any changes to case files once the sample has been drawn. Sub-grantees should be instructed to follow the Handbook documentation rules for all enrollments starting November 1, 2008, and they should obtain missing documentation for those records, but they should not make changes in the 2007 files that are about to be validated in order to improve their pass rate.

If validation is conducted at a central location, case files must be copied and shipped to that location. Copies of the files should be sent via a traceable delivery method such as an overnight delivery method or the US Postal Service's certified mail. It is not efficient or secure to email or fax the documentation.

It is acceptable to just collect all the documents in the file pertaining to all activities prior to exit for records included in the eligibility sample, and all the documents in the file pertaining to exit and all subsequent follow up activities for records included in the performance sample. It is NOT acceptable to collect less than the complete set of documents pertaining to either the eligibility or performance sample.

At the end of the DV process, SPARQ will generate a Summary and Analytical report with estimates of the error rate for each data element. All supporting documentation must be maintained for three program years after the program year in which the validation is completed, to allow for auditing of the results by ETA and DOL's Office of the Inspector General. Documentation includes all case files and all worksheets for sampled records, not just the records that failed. The grantees may store documentation in whatever manner they deem to be safest and most efficient.

II. OVERVIEW OF SCSEP DATA VALIDATION

D. PREPARING FOR DV

Chapter III of this handbook describes the steps that grantees should follow to complete DV. Responsibility for completing these steps will be divided among various staff.

Grantee Administrators are responsible for assigning the role of validator to one or more grantee staff or other personnel not involved in the collection or entry of participant data.⁴ They are also responsible for assuring that validators have the resources needed to complete the validation as required by ETA and for keeping the validation effort on schedule. Grantee Administrators themselves have access to the DV utilities in SPARQ.

Validators conduct the DV once the random samples have been selected. Validators must be grantee staff or other personnel who are independent of the data collection process so that an independent analysis can be obtained. Users with a role of validator and no other role will only have access to the DV utilities and My User Info in SPARQ. In other words, local grantee staff cannot validate their own data. Sub-grantees and local grantee staff will not be able to access the worksheets so that the integrity of the DV process is not compromised.

Table II.3 summarizes the preparation tasks that grantees should complete before embarking on the validation effort, and the staff who will likely be responsible for completing each preparation task. All of these tasks can begin immediately, so that the grantee can maximize the time available to validate its eligibility and performance samples.

TABLE II.3

PREPARING FOR DV

Preparation Activity	Responsible Staff	Handbook Reference
Assemble validation team.	Grantee Administrator	Not applicable
Review handbook.	Validators	All chapters
Develop a DV schedule and make staff assignments.	Grantee Administrator, validators	Chapter II
Review DV steps. Confirm case files contain source documentation.	Validators	Chapter III

⁴ When a new user account is created, an e-mail is sent to the user's e-mail address giving him or her the default password. The user is required to change the password when entering the system for the first time. New passwords must be at least eight characters long and must contain at least one alphanumeric character, one numeric character, and one special character (*, %, \$, etc.).

III. SCSEP DATA VALIDATION PROCEDURES

This chapter provides a step-by-step description of how to view the SCSEP DV pages within SPARQ, select the eligibility and performance samples, display the data elements to be validated, and enter the validation results. It also gives an overview of the six key steps that must be followed by validators as they validate SCSEP data, and includes a flowchart that illustrates those six fundamental steps in the DV process.

A. VIEWING THE SCSEP DV PAGES AND DV SAMPLES

Validators can access the SCSEP DV pages within SPARQ (www.sparq2.doleta.gov) using normal SPARQ user login procedures.

Step 1: Select **Data Validation** under the System Tools section (Figure III.1).

FIGURE III.1
MAIN SPARQ HOMEPAGE

The screenshot shows the main SPARQ homepage. At the top left is the U.S. Department of Labor logo and the text 'U.S. Department of Labor Employment & Training Administration'. To the right is the 'SPARQ' logo and 'SCSEP PERFORMANCE AND RESULTS QPR SYSTEM'. Below this is a navigation bar with 'SPARQ Home', 'SPARQ HOME', 'LOGOUT', and 'HELP'. On the left side, there is a 'System Tools' menu with 'Data Validation' and 'My User Info' options. An arrow labeled 'Step 1' points to 'Data Validation'. The main content area has a 'Welcome to SPARQ' section with a description of the system's goal and a photo of a woman reading to a child. Below this is a 'Security Rules for SPARQ Users' link and a 'Department of Labor Warning' box. At the bottom right is the SCSEP logo and the text 'SCSEP SENIOR COMMUNITY SERVICE EMPLOYMENT PROGRAM'. The footer contains 'SCSEP on the Web' and 'SPARQ v4.2 1/19/2010'.

III. SCSEP DATA VALIDATION PROCEDURES

Step 2: On the SCSEP DV page (Figure III.2), select the **Sample Type** and **Program Year**.

FIGURE III.2
SCSEP DV PAGE TO SELECT SAMPLE TYPE AND PROGRAM YEAR

The screenshot shows the SCSEP DV page interface. At the top, there is a header for the U.S. Department of Labor, Employment & Training Administration, and the SPARQ logo. Below the header, the page title is 'Data Validation'. On the left, there is a 'System Tools' menu with links for 'Data Validation' and 'My User Info'. The main form area contains a 'Grantee' dropdown menu set to 'Validation Example Grantee', a 'Sample Type' dropdown menu set to 'Eligibility', and a 'Program Year' dropdown menu set to '2008'. A 'GO' button is located to the right of the 'Program Year' dropdown. A callout box labeled 'Step 2' with arrows points to the 'Sample Type' dropdown menu. At the bottom of the page, there is a footer with 'SCSEP on the Web' and 'SPARQ v4.2 1/19/2010'.

Click on the **Sample Type** drop-down menu to select either the eligibility sample or the performance sample. (Please refer to Chapter II of this handbook for a detailed discussion of both types of SCSEP DV samples, including selection criteria and sample sizes).

Select the applicable **Program Year**. For this year's validation that is due on May 1, 2008, select PY 2007. Click **GO**.

Step 3: Click on the **Sub-grantee** drop-down menu and select a specific sub-grantee or all sub-grantees to view the records included in the specified DV sample. Selecting all sub-grantees will display a list of all of the participants included in the sample. Selecting a specific sub-grantee will display a list of participants for only the specific sub-grantee selected. If validators choose to select specific sub-grantees, they must ensure that they separately select each of the sub-grantees from the drop-down list to ensure that all sampled records are validated (Figure III.3).

FIGURE III.3
SCSEP DV PAGE TO SELECT SUB-GRANTEE

The screenshot shows the SCSEP DV page interface. At the top, there is a header for the U.S. Department of Labor, Employment & Training Administration, and the SPARQ logo. Below the header, the page title is 'Data Validation'. On the left, there is a 'System Tools' menu with links for 'Data Validation' and 'My User Info'. The main form area contains a 'Grantee' dropdown menu set to 'Validation Example Grantee', a 'Sample Type' dropdown menu set to 'Eligibility', and a 'Program Year' dropdown menu set to '2008'. A 'GO' button is located to the right of the 'Program Year' dropdown. Below the 'GO' button, there are tabs for 'WORKSHEETS' and 'COMMENTS'. The 'DV Sample Select' section has a 'Sub-grantee' dropdown menu set to 'Select'. A 'CONTINUE' button is located below the 'Sub-grantee' dropdown. A callout box labeled 'Step 3' with an arrow points to the 'Sub-grantee' dropdown menu. At the bottom of the page, there is a footer with 'SCSEP on the Web' and 'SPARQ v4.2 1/19/2010'.

III. SCSEP DATA VALIDATION PROCEDURES

Click **Continue** after making a sub-grantee selection.

Step 4: Depending on the sample type chosen in Step 2, either the **Eligibility Summary** or the **Performance Summary** worksheet page for the selected sub-grantee will be displayed. Both of these summary worksheets have three tabs. They are: **Worksheets**, **Report**, and **Comments** (Figure III.4.)

FIGURE III.4
SUMMARY DV WORKSHEET PAGE

U.S. Department of Labor
Employment & Training Administration

SPARQ
SCSEP PERFORMANCE AND RESULTS QPR SYSTEM

Data Validation

SPARQ HOME | LOGOUT | HELP

System Tools
Data Validation
My User Info

Grantee: Validation Example Grantee

Sample Type: Eligibility Program Year: 2008 GO

WORKSHEETS COMMENTS

DV Sample Select < Eligibility Summary Export to CSV

Grantee: Validation Example Grantee # Complete / # In Sample: 0 / 11
Sub-Grantee: All Sample Status: Incomplete
Program Year: 2008

Case Files Missing: 0 Invalid Records: 0

Participants in Sample: ALL Printable Worksheet

Sub-grantee Code	Last Name/First Name	SSN	PID	Regular / Recovery Grant Indicator	Pass	Fail	Incomplete	Status
NJ001	Alexander, Luis	xxx-xx-5220	475627	Regular	0	0	12	
NJ001	Burns, Ethan	xxx-xx-5192	475599	Regular	0	0	19	
NJ001	Ellis, Antonio	xxx-xx-5201	475608	Regular	0	0	13	
NJ001	Fox, Dominic	xxx-xx-5236	475643	Recovery	0	0	17	

The **Worksheets** tab displays a summary worksheet with a list of **Participants in Sample** for a specific sub-grantee, or for all the sub-grantees of a specific grantee, depending on the choice selected in Step 3, and the validation status for each participant record in the selected sample. The **Report** and **Comments** tabs will be discussed later in this chapter.

1. Summary DV Worksheet Column Descriptions

As shown in Figure III.4, the summary DV worksheet includes eight columns: Sub-grantee Code, Last Name/First Name, SSN, PID, Pass, Fail, Incomplete, and Status. The columns are the same for both the eligibility sample and the performance sample.

III. SCSEP DATA VALIDATION PROCEDURES

- The **Sub-grantee Code** column shows the codes of the selected sub-grantee(s) in the sample. This column can be sorted alphabetically by clicking on the column header. This is useful when all sub-grantees are selected in Step 3.
- The **Last Name/First Name** column lists the names of the participants included in the sample. This column can be sorted alphabetically by clicking on the column header. Clicking on the specific name will open the individual validation worksheet for that record. (The individual validation worksheet will be discussed in more detail in Section B of this chapter.)
- The **SSN** column displays the last four digits of the SSN of each participant included in the sample. This column can be sorted numerically by clicking on the column header.
- The **PID** column displays the seven-digit Participant ID of each participant included in the sample. This column can be sorted numerically by clicking on the column header.
- The Regular / Recovery **Grant Indicator** column displays the words “Regular” or “Recovery” for each participant record in both samples. The indicator depends upon whether the participant was funded with SCSEP annual grant funds (regular) or ARRA funds (recovery). This column is provided as information to the validator so that they will be able to differentiate between participants in the two types of grants.
- The **Pass** column shows the number of elements within a record that have passed DV. (Section B of this chapter provides instructions on when to select Pass for an element.)
- The **Fail** column shows the number of elements within a record that have failed DV. (Section B of this chapter provides instructions on when to select Fail for an element.)
- The **Incomplete** column shows the number of elements within a record that have not yet been validated (i.e., have not passed or failed DV yet). When no element in the sample has passed or failed DV, the number in the Incomplete column equals the total number of elements to be validated for that record. For example, the first record in Figure III.4 has 0 in both the Pass and Fail columns, and 7 in the Incomplete column, indicating that there are 7 elements to be validated for that record, and none of them have been validated yet. If the validator selects Pass for one element and Fail for another element, then the numbers will change to 1 in both the Pass and Fail columns, and 5 in the Incomplete column. Each record in the eligibility sample has 25 elements, and each record in the performance sample has 17 elements (see Table IV.1 and Table IV.2 at the end of Chapter IV for a complete list of data elements in both samples). However, the number of elements that need to be validated will not equal 25 (eligibility sample) or 17 (performance sample) when there is a null (blank field) or a “negative value” for a given data element because it is not feasible to validate either nulls or negative values. When a data element is not validatable due to a null or a negative value, there will be no Pass, Fail, or Incomplete radio buttons to select in the individual validation worksheet for that data element.

III. SCSEP DATA VALIDATION PROCEDURES

- The **Status** column shows whether a record has been completely validated (i.e. all validatable elements have passed or failed and there are zero unvalidated elements in the Incomplete column). A green check mark  will appear in the Status column when a record is completely validated.

2. Other Field Descriptions

- The **# Complete/# in Sample** field shows the number of records that have been completely validated and the total number of records in the sample.
- The **Sample Status** field shows the sample's validation status. Once all records in the sample have been completely validated, the Sample Status will be "Complete"; otherwise, it will be "Incomplete."
- The **Case File Missing** field shows the total number of records in the sample that are missing case files and thus cannot be validated. There is a Case File Missing item in the Record Exclusion drop-down menu in the individual validation worksheet of each record, as discussed in more detail in Section B of this chapter.
- The **Invalid Records** field shows the total number of records in the sample that are invalid and thus cannot be validated. There is an Invalid Record item in the Record Exclusion drop-down menu in the individual validation worksheet of each record, as discussed in more detail in Section B of this chapter.
- The **Export to CSV** link is a function that creates a .csv file for analytical purposes. When this link is selected, a spreadsheet is created where the rows of the file are all data elements of each of the records displayed on the summary worksheet, and the columns are the Grantee Name, Program Year, Sample Type, Sub-Grantee Code, Last Name/First Name, SSN, PID, Form#, Data Element Name, Reported Value, Validatable?, Pass/Fail, and Validation Date.
- The **ALL Printable Worksheet** link is a function that opens a new browser window with a printer-friendly version of the validation worksheets for all of the records of either all sub-grantees or a specific sub-grantee, depending on the option chosen in Step 3 (Figure III.5). Elements that are not validatable due to nulls (blanks) or negative values are marked as n/a in the Pass/Fail column. Elements that are validatable, but have not been validated, are blank in the Pass/Fail column. Elements that have been validated are marked as Pass or Fail in the Pass/Fail column. The Sample Status and Worksheet Status are also shown at the top of each worksheet.

III. SCSEP DATA VALIDATION PROCEDURES

FIGURE III.5
ALL PRINTABLE WORKSHEET

Data Validation Worksheet - Eligibility

Grantee: Validation Example Grantee	# Complete / # In Sample: 2 / 11
Sub-Grantee: NJ001	Sample Status: Incomplete
Program Year: 2008	Worksheet Status: Complete
Last Name, First: Alexander, Luis	SSN: xxx-xx-5220
Assignment Date: 05/10/2009	Break Start Date: 08/18/2009
Grant Indicator: Regular	PID: 475627 Application Date: 05/26/2005

Case File Missing? **Invalid Record?**

Participant Worksheet Elements:

No.	Form#	Data Element Name	Reported Value	Pass/Fail
1	P7 / P6.c	State of Residence / State of Mailing Address	PW	Pass
2	P8	Homeless	N	n/a
3	P8a	Urban/rural		n/a
4	P10	Date of birth	5/30/1947	Pass
5	P11	Number in family	10	Pass
6	P13	Employed prior to participation?	003_Not employed	Pass
7	P14	Total includable family income (12-month or 6 month annualized)	5	Pass
8	P22	Limited English Proficiency	N	n/a
9	P24	Low literacy skills?		n/a
10	P25	Veteran (or qualified spouse of veteran)?		n/a
11	P26	Disability?		n/a

III. SCSEP DATA VALIDATION PROCEDURES

B. CONDUCTING DV OF INDIVIDUAL RECORDS IN DV SAMPLES

Based on the Sample Type, Program Year, and Sub-grantee selected, SPARQ will display the sample of records and their respective data elements to be validated.

Step 1: Click on the name of the individual record (in the Last Name/First Name column) in the summary worksheet (Figure III.6).

**FIGURE III.6
SELECTING INDIVIDUAL RECORD IN SAMPLE**

The screenshot shows the SPARQ Data Validation interface. At the top, it displays the U.S. Department of Labor logo and the text 'U.S. Department of Labor Employment & Training Administration'. The main header is 'Data Validation' with 'SPARQ' and 'SCSEP PERFORMANCE AND RESULTS QPR SYSTEM' on the right. Navigation links include 'SPARQ HOME', 'LOGOUT', and 'HELP'. On the left, there are 'System Tools' for 'Data Validation' and 'My User Info'. The main content area shows filters for 'Grantee: Validation Example Grantee', 'Sample Type: Eligibility', and 'Program Year: 2008'. Below these are tabs for 'WORKSHEETS' and 'COMMENTS'. A breadcrumb trail shows 'DV Sample Select < Eligibility Summary'. A summary section displays '# Complete / # In Sample: 0 / 11' and 'Sample Status: Incomplete'. A status bar shows 'Case Files Missing: 0' and 'Invalid Records: 0'. The 'Participants in Sample' section includes a table with columns: Sub-grantee Code, Last Name/First Name, SSN, PID, Regular / Recovery Grant Indicator, Pass, Fail, Incomplete, and Status. A callout box labeled 'Step 1' with an arrow points to the first row of the table, where 'Alexander, Luis' is highlighted.

Sub-grantee Code	Last Name/First Name	SSN	PID	Regular / Recovery Grant Indicator	Pass	Fail	Incomplete	Status
	Alexander, Luis	xxx-xx-5220	475627	Regular	0	0	12	
NJ001	Burns, Ethan	xxx-xx-5192	475599	Regular	0	0	19	
NJ001	Ellis, Antonio	xxx-xx-5201	475608	Regular	0	0	13	
NJ001	Fox, Dominic	xxx-xx-5236	475643	Recovery	0	0	17	

Step 2: This will open the individual worksheet page that lists all data elements to be validated for the selected record (Figure III.7).

III. SCSEP DATA VALIDATION PROCEDURES

FIGURE III.7
INDIVIDUAL DV WORKSHEET PAGE

System Tools
[Data Validation](#)
[My User Info](#)

U.S. Department of Labor
 Employment & Training Administration
 SCSEP PERFORMANCE AND RESULTS QPR SYSTEM
 SPARQ
 Data Validation
 SPARQ HOME | LOGOUT | HELP

Grantee: Validation Example Grantee
 Sample Type: Eligibility Program Year: 2008 GO

WORKSHEETS COMMENTS

[DV Sample Select](#) < [Eligibility Summary](#) < **Individual Worksheet**

Grantee: Validation Example Grantee # Complete / # In Sample: 2 / 11
 Sub-Grantee: VAL NJ Sample Status: Incomplete
 Program Year: 2008 Worksheet Status: Complete

Worksheet 1 of 11

SAVE Print Version

Last Name, First Name: Alexander, Luis SSN: xxx-xx-5220 PID: 475627 Application Date: 05/26/2005
 Assignment Date: 05/10/2009 Break Start Date: 08/18/2009
 Grant Indicator: Regular

Participant Worksheet Elements: Record Exclusion: None Clear All

No.	Form#	Data Element Name	Reported Value	Pass	Fail	Incomplete
1	P7 / P6.c	State of Residence / State of Mailing Address	PW	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	P8	Homeless	N	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	P8a	Urban/rural		<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	P10	Date of birth	5/30/1947	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

The top part of the screen shows the Sample Type, Program Year, Grantee name, Sub-grantee name, # Complete/# In Sample, and Sample Status, (the same fields are on the summary DV page shown in Figure III.4). The individual DV worksheet page also has a **Worksheet Status** field that shows whether all validatable data elements for this record have been completely validated (Complete) or not (Incomplete).

To toggle between records, use the arrows that appear in the center of the screen. The arrows on the far left and right navigate to the first and last record in the sample, respectively. The middle arrows allow navigation to the record immediately before and immediately after the record currently selected. In between the middle arrows is the number of the worksheet currently selected of the total number of worksheets in the sample. This toggle bar also appears at the bottom of the screen. If validators make any changes to the record currently displayed on the screen, and use the toggle bar, a box will appear asking if validators want to save the changes (Figure III.8). Make the appropriate selection before navigating to the next screen.

FIGURE III.8
TOGGLE BAR WARNING MESSAGE



Under the arrows used for toggling between records, the participant's last name, first name, the last four digits of the participant's SSN, and the seven-digit PID are displayed. In addition, for records in the eligibility sample, the Application Date, Assignment Date, and Break Start Date (if available) are also shown; for records in the performance sample, the Start Date is also shown.

1. Individual DV Worksheet Column Descriptions

As shown in Figure III.7, the individual DV worksheet includes seven columns: No., Form#, Data Element Name, Reported Value, Pass, Fail, and Incomplete. These columns are the same for both the eligibility sample and the performance sample.

- The **No.** column shows the sequential numbers of the data elements in the record.
- The **Form#** column shows the corresponding form numbers of the data elements in the record.
- The **Data Element Name** column shows the names of the data elements in the record.
- The **Waiver Field Last Updated Date** column appears only in the performance sample, and displays a value for four elements, all of which appear in that sample. Those elements are
 - P51 Severe Disability?
 - P52 Frail?
 - P53 Old enough for but not receiving SS Title II?
 - P54 Severely limited employment prospects in area of persistent unemployment?

For each of those elements, the date on which the field was last updated in SPARQ will be displayed.

- The **Reported Value** column shows the values that the sub-grantee reported for the data elements.
- The **Pass, Fail** and **Incomplete** columns contain radio buttons to select for each data element that needs to be validated. Only one of these buttons can be selected for a particular data element. If the wrong button was selected, select the correct button

instead. This will remove the incorrect mark and correct the error. As discussed in Section A of this chapter, data elements that are not validatable due to null (blanks) or negative values will not have radio buttons in the Pass, Fail, or Incomplete columns.

2. Other Field Descriptions

- Click on the **DV Sample Select** link to return to the sub-grantee selection screen.
- Click on the **Eligibility Summary** or **Performance Summary** link to return to the summary DV worksheet for the selected sample.
- The **Save** button saves all of the entered validation values. It appears at both the top and bottom sections of the worksheet. After the Save button is clicked, a message “The validation data has been updated for this record” will appear in the top section of the screen above the Save button.

It is imperative that validators click the Save button before leaving an individual worksheet that has been updated. Failing to do so will result in the loss of all changes made to that worksheet.

- The **Print Version** link opens a new browser window with a printer-friendly version of the validation results for all data elements of the selected record. It works the same way as the ALL Printable Worksheet function of the summary DV worksheet and has the same layout (Figure III.4), except that it only contains data for the one record currently being validated, instead of all the records in the summary worksheet.
- The **Record Exclusion** drop-down menu has three choices: None, Case File Missing, and Invalid Record. By default, it is set to None for all records, which activates the Pass, Fail, or Incomplete radio buttons and allows them to be selected.

When the case file for a record cannot be located, Case File Missing should be selected. When Case File Missing is selected, all of the elements in the worksheet that have radio buttons will automatically be nullified and grayed-out, indicating that the record is excluded from validation. A message box will appear asking for confirmation (Figure III.9). Make the appropriate selection before navigating to the next screen.

FIGURE III.9
CASE FILE MISSING SELECTION WARNING MESSAGE



III. SCSEP DATA VALIDATION PROCEDURES

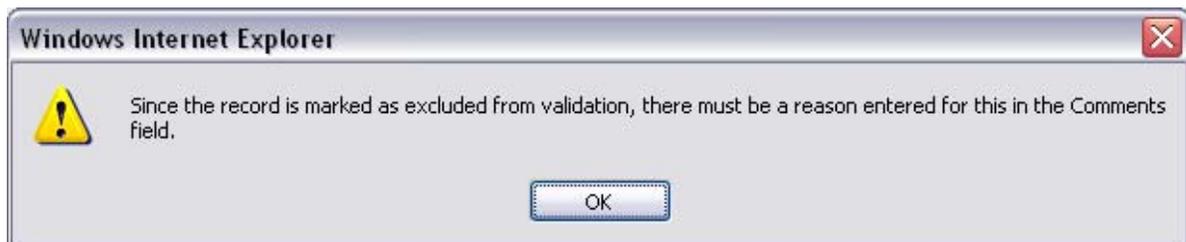
When a record is invalid, Invalid Record should be selected. When Invalid Record is selected, all elements in the worksheet that have radio buttons will automatically be nullified and grayed-out, indicating that the record is excluded from validation. A message box will appear asking for confirmation (Figure III.10). Make the appropriate selection before navigating to the next screen. When the Invalid Record option is selected, SPARQ will send an automatic email to SCSEP@mathematica-mpr.com including the record's Grantee, Sub-grantee, Program Year (of sample), Sample Type, Last Name, SSN (last 4 digits), PID, and a message saying "This record has been marked as an 'Invalid Record' in Data Validation."

FIGURE III.10
INVALID RECORD SELECTION WARNING MESSAGE



If either the Case File Missing or the Invalid Record option is selected, a reason must be provided for the selection in the Comments field before saving the validation result of the record. If no comment is entered for such a record, a message box warning will appear when the save button is clicked (Figure III.11).

FIGURE III.11
COMMENT WARNING MESSAGE



If the case file for the record is located later, or if a record is marked as invalid by mistake, select None in the Record Exclusion drop-down menu. This will reset the selected individual worksheet to the default of Incomplete for all data elements. A message box will appear to confirm the change (Figure III.12). Make the appropriate selection. If OK is selected, validators will be able to select Pass or Fail for each of the data elements of the record.

III. SCSEP DATA VALIDATION PROCEDURES

FIGURE III.12
CHANGING TO NO RECORD EXCLUSION WARNING MESSAGE



- The **Clear All** link removes all of entries of Pass or Fail and returns the selected individual worksheet to the default of Incomplete for all data elements.
- The **View data comments for this record** link refresh the worksheet page and display the comments on the record from SPARQ. Validators can view these comments for the record to help them with validation. For records in the eligibility sample, the comments displayed include personal characteristics comments, enrollment comments, and community service assignment comments (Figure III.13). For records in the performance sample, the comments displayed include recertification/waiver comments, community service assignment comments, exit comments, and unsubsidized employment comments (Figure III.14). Click on the “Hide data comments for this record” link to hide these comments.

FIGURE III.13
VIEW DATA COMMENTS FOR AN ELIGIBILITY RECORD

Data Comments	
Personal characteristics comments:	Cannot hear well.
Enrollment comments:	On wait list till Aug 22.
Community service assignment comments:	Connie said they may want to hire her.

FIGURE III.14
VIEW DATA COMMENTS FOR A PERFORMANCE RECORD

Data Comments	
Recertification/waiver comments:	No changes-see paperwork.
Exit comments:	Will come in to sign soon.
Unsubsidized employment comments:	Called 3/31, still employed - Ann Poole.

III. SCSEP DATA VALIDATION PROCEDURES

Step 3: Assemble all of the supporting documentation and complete the validation of each data element of the selected record. There are two options for where to conduct the validation:

Option 1: Go to the sub-grantee's office and review all of the case files on-site; this may be preferable when there are few sub-grantees that have a large number of cases to be validated. In this case, validators may choose to select specific sub-grantees in the DV Sample Select step, and print the validation worksheets for each selected sub-grantee.

Option 2: Have all of the case files that need to be validated sent to the grantee's office; this may be preferable when there are numerous sub-grantees with a small number of cases in order to avoid having to make many short duration trips. In this case, validators may choose to select All sub-grantees in the DV Sample Select step, and print the validation worksheets for all sub-grantees.

Step 4: Enter validation results for each data element of each record. There are three options to do this:

Option 1: Print out all of the worksheets that need to be validated and record the results on paper while reviewing the files. The results then need to be entered separately into the relevant online SPARQ DV worksheet page.

Option 2: Export all of the worksheets to a CSV file and record the results in a spreadsheet while reviewing the files. The results then need to be entered separately into the relevant online SPARQ DV worksheet page.

Option 3: Enter the results online while validation is being conducted using the SPARQ DV page, which is available wherever there is an Internet connection.

The validation process itself involves comparing the sub-grantee reported information to the participant case files. This process includes the following steps:

1. Use the participant's name given on the validation worksheet to locate his/her case file.
2. Go through the list of data elements on the worksheet and compare the reported value with the information contained in the case file. Using the source documentation (see Chapter IV) to make a decision, determine if the information contained in the case file meets the specifications for the reported value.
3. If the information included in the participant's file supports/matches the value for the data element, then select Pass. However, if the source documents do not support/match the data element, then select Fail. For example, the participant's date of birth is one element that requires validation. If the reported date on the individual worksheet is 06/06/1930 and the source document within the case file says 06/06/1930, then the data element is valid and Pass should be selected. However, if the date on the source document within the case file shows any other date, then Fail should be selected. If no source document with a date of birth can be located in the case file, Fail must be selected for that data element.

III. SCSEP DATA VALIDATION PROCEDURES

Note: Due to the manner in which data are stored in SPARQ, for date and money fields, validators may come across differences in how the values display. For example, a date field may be displayed as either 01/01/2008 or 01-JAN-2008, and a money field that contains whole dollars may be displayed with either two decimals (5.00) or with no decimals (5). Regardless of the format, the values must be validated if radio buttons are present for a data element.

If an entire case file cannot be located, or if the record is invalid, Case File Missing or Invalid Record from the Record Exclusion drop-down list in the worksheet must be selected. In this case, all elements in the worksheet that have radio buttons will automatically be nullified and grayed-out. If the file is located at a later time, or an invalid record is later considered valid, the Case File Missing or Invalid Record selection can be changed to None and the appropriate Pass or Fail values may be entered. When a case file is missing or a record is invalid, explanatory notes must be entered in the Comments field at the bottom of the individual worksheet.

4. Repeat this process for every data element on each individual worksheet. Some data elements do not need to be validated and have no Pass, Fail, or Incomplete buttons. This occurs when the reported values of those elements are null (blank) or negative values, which cannot be validated.
5. Make copies of relevant source documents when selecting Fail for a data element. The copied materials will help support that a discrepancy exists between the reported value for a data element and the documentation in the case file. The copied materials can also be used to discuss the discrepancy with sub-grantee staff, which will help them correct the errors and prevent the same types of errors from recurring in the future.

Also make copies of relevant source documents when there is a question as to whether the information in the case file supports the reported values for the data elements. This can be especially helpful when validation is conducted on-site but a final decision will not be made until a later date.

6. Before navigating to another webpage or worksheet, click the Save button. . If changes to the worksheet are not saved, then all of the radio buttons will return to the position they were in when the worksheet was last saved.

To avoid the potential loss of validation results, click the Save button before leaving a worksheet.

Step 5: Enter relevant comments for the individual record being validated (Figure III. 15). The **Comments** box is located at the bottom of the individual worksheet, and up to 1,000 characters may be entered. Comments can include the reason why a data element failed validation or definitional problems. Comments are mandatory for case file missing records and invalid records (see Step 2 of this section). Always click the **Save** button after comments have been entered.

III. SCSEP DATA VALIDATION PROCEDURES

FIGURE III.15
COMMENTS FOR INDIVIDUAL RECORD IN THE SAMPLE

Comments:

Could not confirm Number in Family because there were conflicting documents.

SAVE

C. ENTERING COMMENTS FOR THE SAMPLE

Validators may enter comments for the entire sample being validated by clicking on the **Comments** tab after the Worksheet and Report tabs at the top of the screen (Figure III.16). This opens the comments box for the entire sample. Up to 1,000 characters may be entered here. Comments can describe the validation results for the entire sample, explain why multiple case files are missing for a single reason, or some other sample specific message. Click the **Save** button after comments have been entered.

Comments can be printed along with the Summary and Analytical Report, which is described in Section D of this chapter.

FIGURE III.16
COMMENTS FOR THE SAMPLE

The screenshot displays the 'Data Validation' interface for the SCSEP Performance and Results QPR System. The header includes the U.S. Department of Labor logo and the text 'U.S. Department of Labor Employment & Training Administration'. The system name 'SPARQ' and 'SCSEP PERFORMANCE AND RESULTS QPR SYSTEM' are also visible. The page title is 'Data Validation'. On the left, there is a 'System Tools' menu with 'Data Validation' and 'My User Info' options. The main content area shows a 'Grantee' dropdown set to 'Validation Example Grantee', a 'Sample Type' dropdown set to 'Eligibility', and a 'Program Year' dropdown set to '2008', with a 'GO' button. Below these are two tabs: 'WORKSHEETS' and 'COMMENTS', with 'COMMENTS' selected. Under the 'COMMENTS' tab, the 'Grantee-Level Sample Comments' section displays the selected grantee, sample type, and program year. A 'Comments:' section contains a text box with the following text: 'This sample was completely validated on January 21, 2010. There are 5 records that are excluded from validation (2 invalid records and 3 records missing case files). Validators have entered comments for these records.' A 'SAVE' button is located below the text box. The footer of the page includes 'SCSEP on the Web' and 'SPARQ v4.2 1/19/2010'.

III. SCSEP DATA VALIDATION PROCEDURES

D. VIEWING SUMMARY AND ANALYTICAL REPORT

This section will be updated when this year's Summary and Analytical Report is implemented in a future release.

III. SCSEP DATA VALIDATION PROCEDURES

E. SCSEP DV PROCESS AT-A-GLANCE

Another way to conceive of the SCSEP DV process is to view it graphically. Figure III.20 is a flowchart that summarizes the six key steps in the validation process for both the eligibility and the performance samples. The six key steps are:

Step 1: Access the DV worksheets for either the eligibility sample or the performance sample and retrieve the case files corresponding to those records. After obtaining the case file for a sampled record, use the validation worksheet to locate the first relevant data element that must be validated. Fields that are null (blank) or contain a “negative value” are not validated, and the applicable row on the worksheet will not display a radio button in the Pass, Fail, or Incomplete columns. The negative values for each data element, if any, are listed in Table IV.1 and Table IV.2 at the end of Chapter IV.

Step 2: For elements where data are present, use the validation instructions in Chapter IV to determine whether the data element meets the validation criteria based on the information in the source documents.

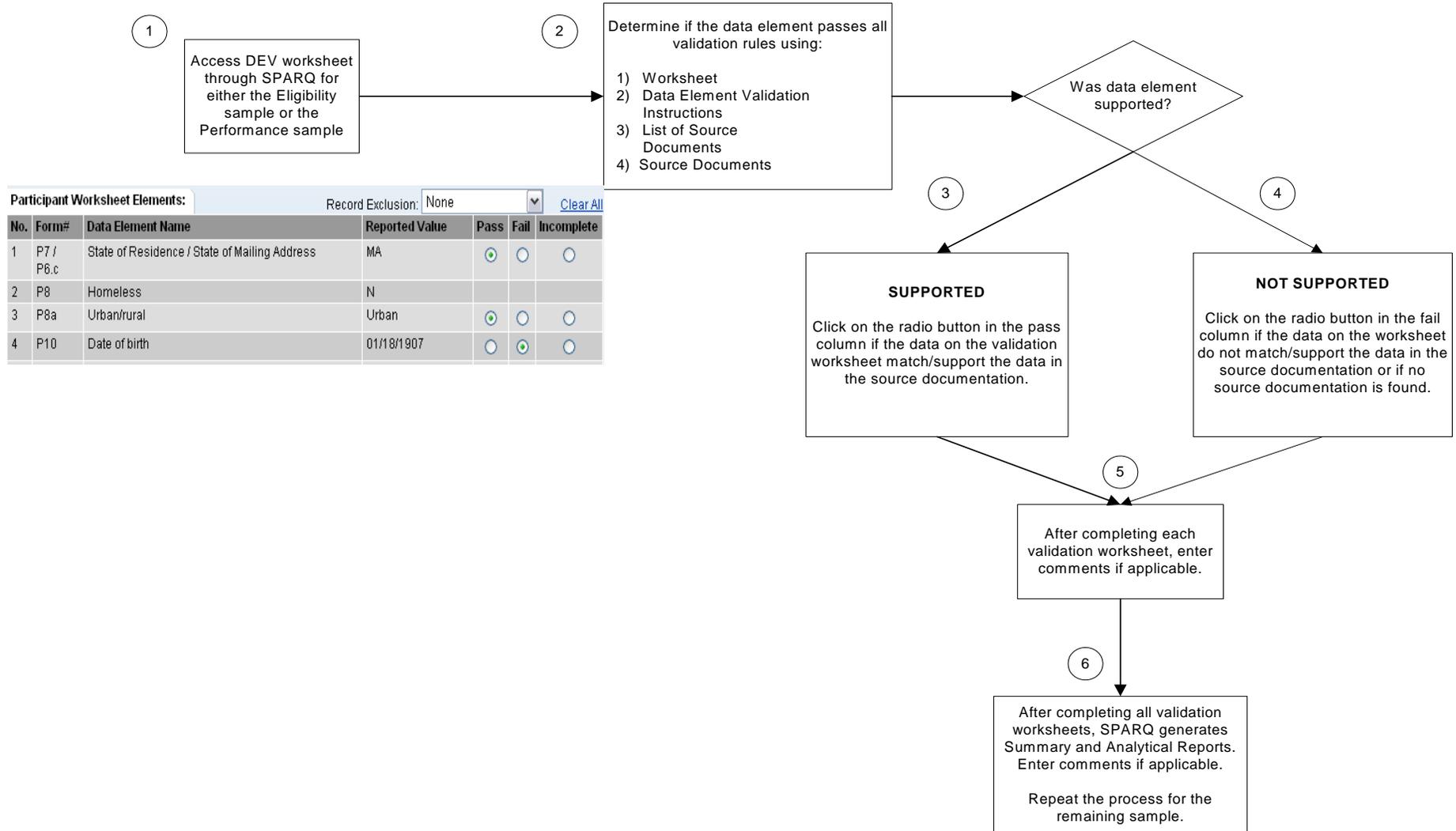
Step 3: If the source documentation supports/matches the data element, click on the radio button in the Pass column of the worksheet.

Step 4: If the source documentation does not support/match the data element (or there is no source documentation for the element), click on the radio button in the Fail column of the worksheet. If the case file for a particular record is missing from the sub-grantee’s office where it is supposed to be kept, or if a record is invalid, select Case File Missing or Invalid Record in the Record Exclusion drop-down menu on the individual validation worksheet for that record, and provide an explanation in the Comments field.

Step 5: Proceed through each data element for each sampled record in the same manner. The Comments section of the worksheet can be used to record notes or to document issues for a specific record that may be helpful for future validations.

Step 6: After each data element has been validated for every sampled record, review the Summary and Analytical Report generated by SPARQ. The Comments tab can be used to provide additional information relevant to the validation of the entire sample.

FIGURE III.20
SCSEP DV AT-A-GLANCE



Participant Worksheet Elements: Record Exclusion: None

No.	Form#	Data Element Name	Reported Value	Pass	Fail	Incomplete
1	P7 / P6.c	State of Residence / State of Mailing Address	MA	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
2	P8	Homeless	N	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
3	P8a	Urban/rural	Urban	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
4	P10	Date of birth	01/18/1907	<input type="radio"/>	<input checked="" type="radio"/>	<input type="radio"/>

IV. SCSEP DATA VALIDATION INSTRUCTIONS

This section presents the list of data elements that require data validation in the eligibility sample and the performance sample, along with their associated Form Number, Field Name, Valid Values, Negative Values, Source Documentation Requirements, and Validation Instructions. (See Table IV.1 and Table IV.2, respectively, at the end of this chapter.)

Grantees will be required to validate one, and only one, assignment per enrollment in the eligibility sample. That is, if a new enrollee has more than one assignment during the PY being validated, the SPARQ DV software will select the assignment that has the earliest assignment date. All other CSA data elements (i.e. Start Assignment Date, End Assignment Date, Total Hours Paid, Reason for Approved Break, etc.) will be driven by the selection of that earliest assignment.

Similarly, grantees will be required to validate one, and only one, placement per exiter in the performance sample. That is, if an exiter whose final performance was reported during the PY being validated has more than one placement, SPARQ DV will select the placement that has the most recent start date. All other data elements in the performance sample (i.e. End Placement Date, Wages, and Earnings) will be driven by the selection of that most recent placement.

The following substantive changes have been made to the SPARQ DV instructions since the last release of this handbook:

Eligibility Sample Elements:

- P22 Limited English Proficiency
 - P24 Low Literacy Skills
- New instructions remove self attestation as an acceptable form of documentation for both of these elements.

Performance Sample Elements:

- P51 Severe Disability?
 - P52 Frail?
 - P53 Old enough for but not receiving SS Title II?
 - P54 Severely limited employment prospects in an area of persistent unemployment?
- New instructions describe how both the information contained within these elements and their 'Last Updated Date' in SPARQ must be verified for these elements to pass validation.

A. VALIDATION RULES

Validators conducting SCSEP DV will apply one of two basic types of validation rules for each data element:

1. If the validation instruction cell says **MATCH**: Click on the radio button in the pass column if the data on the validation worksheet match the data in the source documentation. Click on the radio button in the fail column if the data on the worksheet do not match the data in the source documentation or if no source documentation is found for this element. To match, the data on the worksheet must be the same as the data in the source documentation. For example, if the worksheet says a participant's date of birth is 07/01/1942, then the source documentation must also have 07/01/1942 as the birth date.
2. If the validation instruction cell says **SUPPORT**: Click on the radio button in the pass column if the data on the validation worksheet are supported by the data in the source documentation. Click on the radio button in the fail column if the data on the worksheet are not supported by the data in the source documentation or if no source documentation is found. To support, the data on the worksheet must be similar to the data in the source documentation. This instruction is used when information must be interpreted or processed before it can be applied to the participant's records. For example, source documentation can support low literacy skills in different ways, by self-attestation, by results of literacy testing, or case notes from observation of participant.

B. SOURCE DOCUMENTATION

There are four categories of source documentation requirements:

- Official Documents or Business Records
- Confirmation of Signature and Dates
- Detailed Case Notes
- Requiring Participant or Third Party Signed Attestation

1. Official Documents or Business Records

Official Documents or Business Records include the following four subcategories:

- **Government records** – includes Social Security Administration records; immigration records; driver’s license; federal, state, or local government identification card; Veteran’s Administration records; Department of Defense records.
- **Medical records** – includes actual medical records; physician’s statement; psychologists’ diagnosis; rehabilitation evaluation; certification from a medical professional; disability records; worker’s compensation records; vocational rehabilitation letter.
- **Grantee, sub-grantee, or host-agency business records** – a broad category of documents meant to include records created in the normal course of business. This subcategory would include, but is not limited to: time-sheets, payroll records, written communications (letters, memos, faxes, email) to an external entity (for example, a letter from sub-grantee to host agency or vice versa; an email from host agency to participant; or a fax from host-agency to sub-grantee).
- **Other official or third-party business records** – a broad category of documents meant to provide flexibility for grantees to use documents received from external entities (e.g. bank statements, payroll records, letters from employers) not explicitly listed above, yet that could clearly establish the facts being considered. Such documents could be received from the external entity directly or delivered from the participant or a third-party. These documents are prepared by a disinterested party, are generally used by the entity in the course of its business, and are presumed to be reliable. This category also includes religious records, such as baptismal certificates or other religious documents that provide evidentiary information, such as date of birth.

Examples of Official Documents or Business Records that are listed for the data elements in Table IV.1 and Table IV.2 below are meant to be illustrative. Validators should use the guidance above to determine whether particular sources meet the standards of proof. For example, if a document is not on the list, but the type of information contained in the unlisted document and the circumstances under which the document was prepared are the same as that which is present on the documents that are listed, then such a document may be acceptable.

2. Confirmation of Signature and Dates

Confirmation of Signature and Dates is the simplest form of support. Validators will simply confirm that the relevant signature exists on the application and/or participant's recertification form and that the date in SPARQ matches the date on the form.

3. Detailed Case Notes

Detailed Case Notes consist of the case worker's own documentation of his or her activities. Case notes can be based on information derived in person or by telephone. Every case note used to validate data must include the following three foundation elements along with the specific facts being documented:

- Case notes must include the name of the person who is the source of the information, his or her phone number, and the person's organization and title or relationship to the participant, whichever is appropriate. Depending on the circumstances, this could be an individual associated with the grantee, the employer, the host agency, or some other party.
- Case notes must include the name or initials of the person making the note.
- Case notes must contain the date on which the information was obtained, and the date on which it was recorded, if different.

Case notes can be stored in any format, including hand-written notes, standardized forms, or electronic records. The term "detailed" does not correlate to length or amount of information, but instead recognizes that the case notes need to provide sufficient information so that a reasonable person could make a determination as to specific events or decisions.

4. Participant or Third Party Signed Attestation

Participant or Third Party Signed Attestation is used when information is obtained directly from the participant or, when appropriate, a knowledgeable third party. DOL will provide a form that can be used for all items for which signed attestation is permitted. Signed attestation suffices ONLY IF there is no evidence in the case file that contradicts the statements made through attestation.

Important notes: Except where specifically stated, when more than one category of source documentation requirement is listed for a data element, grantees and sub-grantees will only have to provide a source document from one category. In addition, grantees and sub-grantees do not have to provide all the specific documents listed under the official documents and business records category. Instead, grantees and sub-grantees should provide the documents necessary to establish that the program requirements for the data element have been met—in some cases, one document will suffice; in other cases, more than one document will be needed.

C. VALUES AND RECORDS NOT VALIDATED

A data element that has negative values is not validated. For each data element, the **Negative Values** column in Table IV.1 and Table IV.2 identifies which values, if any, of the possible valid values are not validated. When the negative value is present for the relevant data element, there are no radio buttons for the validator to select Pass, Fail, or Incomplete, as discussed in Chapter III. In general, validating negative values would be difficult, if not impossible, because the validator would be searching the case file to confirm that something was not present or an event did not occur. Similarly, blanks are not validated because the validator would be searching the entire case file to confirm that there was no valid value to populate that particular data element.

SCSEP DV provides for two exclusions – Case File Missing and Invalid Record, as discussed in Chapter III. Case File Missing means that a record’s case file cannot be located. Invalid record means that a particular participant’s record is included in a grantee’s database in error. When a validator has compelling reason to believe that a record has been included in error, the Invalid Record option should be selected. In such cases, SPARQ will send an automatic email to SCSEP@mathematica-mpr.com for confirmation. If it is determined that the record was legitimately included, the record will be reset to incomplete, and the grantee administrator(s) will be notified by email.

IV. SCSEP DATA VALIDATION INSTRUCTIONS

TABLE IV.1
ELIGIBILITY SAMPLE VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
1	P6.c/P7	State of Mailing address/ State of residence	State abbreviation		<p><i>NOTE: Validation of this data element is a two-step process:</i> <i>(1) validate State of mailing address / State of residence if different from mailing address; and</i> <i>(2) validate consistency with program requirements, i.e., participant must have documentable proof of in-state residence, or there must exist a cross-border agreement between the participant's state of residence and the state in which the grantee operates.</i> <i>Both requirements must be met for a "yes" answer.</i></p> <p>OFFICIAL DOCUMENTS AND BUSINESS RECORDS: Official records that substantiate the participant's state of residence, including but not limited to: Approved cross-border or multi-state agreements; driver's license or State, Federal or Tribal ID Card; home utility bill or other billing statement providing documentation of residence or mailing address (if different than address on license or ID); document from a public or private institution (independent living housing, CBRF or AL) or housing authority; official government mail dated within the last 30 days; bank statement; Social Security Statement; rental agreement; homeowners or rental insurance policy or statement; voter registration card.</p>	Match
2	P8	Homeless	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official records that establish that the regulatory definition has been met are acceptable, including but not limited to: Letter or written statement from director of shelter or institution providing temporary living accommodations; written statement from an individual providing temporary residence; statement from a Social Service agency; statement from a Veteran's hospital/rehab center.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail: (1) how the participant's living condition meets the regulatory definition, and (2) how that determination was made.</p> <p>OR</p> <p>SIGNED ATTESTATION: Participant signed self-attestation is acceptable. Signed attestation from a third-party who has knowledge of the participant's living condition is acceptable.</p>	Support
3	P8a	Urban /Rural	Urban Rural		<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Enter zip code in the Rural Urban Commuting Area (RUCA) look-up table in SPARQ.</p> <p>Alternatively, use the census tract look-up provided in SPARQ to determine if the participant's residence is considered rural. If the census tract is used, grantees must document steps taken to make that determination.</p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
4	P10	Date of birth	Date Format MM/DD/YYYY Y >= 1/1/1900		OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official government record that verifies the participant's date of birth, including but not limited to: birth certificate; DD-214, Report of Separation; driver's license; marriage license or divorce decree; Federal, state or local identification card; passport; hospital record of birth; public assistance / social service records; school records or ID card; work permit; cross match with Department of Vital Statistics; tribal records; Social Security award letter; baptismal record.	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
5	P11	Number in family	Integer > 0		<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish the number in family at the time of application, official government records or other official records are acceptable, including: A HUD form; a lease; beneficiary forms (to substantiate a spouse for a family size of 2)</p> <p>To establish a family-of-one is due to disability, official government or other official records are acceptable, including but not limited to: Receipt of Social Security Disability Insurance (SSDI), other Social Security Administration records; school records; sheltered workshop certification; social service records or referrals</p> <p>Alternatively, certification from a medical professional or medical records that establish specific facts that meet the regulatory definition are acceptable, including but not limited to: Letter from Drug or Alcohol rehabilitation agency; medical records; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record; Assessment results; verification from an aging, information and referral assistance (I&A or I&R) / case management program; Aging and Disability Resource Center (ADRC); Independent Living Center (ILC); certification from a medical professional</p> <p>NOTES: (1) <i>TEGL requires that the record of documents must be jointly signed by applicant and grantee interviewer.</i> (2) <i>A 'Disability Identification Card' issued by the State is not acceptable unless there is documentation that the medical standards used to issue the card meet the regulatory definition.</i></p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish the number in family at the time of application, case notes must also detail: (1) the number in family as defined by TEGL 12-06, and (2) the rationale for accepting information from that individual without a signature. <i>NOTE: Case notes are not acceptable for establishing family-of-one is due to disability</i></p> <p>OR</p> <p>SIGNED ATTESTATION: To establish the number in family at the time of application, signed attestation from a third-party who has knowledge of the participant's number in family and reflects the living situation at time of application.</p> <p><i>NOTE: Participant signed self-attestation is prohibited. Signed attestation from a third-party (as opposed to a medical professional) is not acceptable in establishing family-of-one is due to disability.</i></p>	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
6	P13	Employed prior to participation?	001_Employed 002_Employed-but-with-notice-of-termination 003_Not employed	001_Employed 002_Employed-but-with-notice-of-termination	<p><i>NOTE: Validation of this data element is a two-step process:</i> <i>(1) validate applicant's employment status prior to participation; and</i> <i>(2) validate consistency with program requirements, i.e., that the applicant was unemployed at the point of enrollment.</i> <i>Both requirements must be met for a "yes" answer.</i></p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Government records or other official records are acceptable to establish no employment at time of application, including but not limited to: Record indicating firm date of separation from military service, unemployment insurance documents, notice of termination from employer.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail no employment at time of application.</p> <p>OR</p> <p>SIGNED ATTESTATION: Participant signed self-attestation or signed attestation from a third-party who has knowledge of the participant's employment status prior to participation is acceptable to establish no employment at time of application.</p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
7	P14	Total includable family income (12-month or 6 month annualized	Number with 2 decimal places between 0.00 and 100000.00	0.00	<p><i>NOTE: Validation of this data element is a two-step process:</i></p> <p><i>(1) validate that total includable family income was correctly calculated in accordance with the TEGL; and</i></p> <p><i>(2) validate consistency with program requirements which stipulate that in order for a participant to be eligible, his or her family income must be less than or equal to 125% of the federal poverty line for the appropriate family size.</i></p> <p><i>Both requirements must be met for a "yes" answer.</i></p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS:</p> <p>Validation requires that both:</p> <p>(1) official documents and business records establish includable income, and</p> <p>(2) attestation establishes that no other includable income exists.</p> <p>Government records or other official records that establish the amount of income for the 6-month or 12-month look-back period are acceptable, including but not limited to:</p> <p>Pay stubs; Social Security Award letters; earning statements from employers; pension statements; bank statements showing interest.</p> <p>NOTES:</p> <p><i>(1) TEGL requires that the record of documents must be jointly signed by participant and grantee interviewer.</i></p> <p><i>(2) Income tax returns can often be a helpful part of the documentation but they will rarely be sufficient in themselves to establish the amount of income for the 6-month or 12-month look-back period because they cover a complete calendar year. Additional documentation will usually be required to establish includable income for the entire look-back period.</i></p> <p>OR</p> <p>DETAILED CASE NOTES: (For Claims of Zero Income Only)</p> <p>Case notes based on information from a knowledgeable third-party are acceptable to</p> <p>(1) explain how participant supported self if zero income is claimed or</p> <p>(2) to document that no other includable income exists.</p> <p>In addition to the standard requirements for all case notes, those case notes must also:</p> <p>(1) confirm zero income and/or that no other family income exists,</p> <p>(2) explain how participant supported self, and</p> <p>(3) detail how that confirmation was made.</p> <p>OR</p> <p>SIGNED ATTESTATION: (For Claims of Zero Income Only)</p> <p>If zero income is claimed, participant signed self-attestation or signed third-party attestation that explains how participant supported self is required.</p> <p>Beyond establishing total includable family income through official documents and business records, participant signed self-attestation is also required to document that no other includable family income exists.</p>	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
8	P22	Limited English Proficiency	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official records that establish limited English proficiency are acceptable, including but not limited to: Results of literacy testing, standardized test results.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also explain: (1) that the participant has limited English proficiency, (2) how assessment was made, e.g., participant appeared with an interpreter or directly communicated to case worker that she doesn't speak English, and (3) the date that assessment was made.</p> <p>OR</p> <p>SIGNED ATTESTATION: Signed third party attestation.</p> <p><i>NOTE: Participant signed self-attestation is prohibited.</i></p>	Support
9	P24	Low literacy skills?	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official records that establish low literacy skills are acceptable, including but not limited to: Literacy testing; standardized test results.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also explain: (1) that the participant has low literacy skills, (2) how that assessment was made, and (3) the date that assessment was made.</p> <p>OR</p> <p>SIGNED ATTESTATION: Signed third party attestation</p> <p><i>NOTE: Participant signed self-attestation is prohibited.</i></p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
10	P25	Veteran (or qualified spouse of veteran)?	a_Non-qualified_veteran b_Qualified_veteran c_Qualified_spouse_of_veteran d_None_of_above	d_None_of_above	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official government document that verifies veteran status, such as: Military discharge papers; DD-214; cross-match with Veteran's Database.</p> <p>Veterans who do not have a DD-214, can provide a copy of military identification.</p> <p>OR</p> <p>DETAILED CASE NOTES: For veterans discharged prior to 1950, case notes are acceptable in all cases.</p> <p>In addition to the standard requirements for all case notes, must detail (1) the veteran status of the participant, and (2) how that determination was made</p> <p>OR</p> <p>SIGNED ATTESTATION: For veterans discharged prior to 1950, participant signed self-attestation is acceptable in all cases</p>	Support
11	P26	Disability ?	Y/N DNVR	N DNVR	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Documentation should be an official government record or other official record that indicates that (1) a medical professional made a determination of disability and (2) describe how the disability meets the SCSEP regulatory definition, including but not limited to: Receipt of Social Security Disability Insurance (SSDI), other Social Security Administration records; school records; sheltered workshop certification; social service records or referrals; community-based aging and disability organizations; social service agency record or referral; independent Living Center statement; letter from Group Home administrator.</p> <p>Alternatively, certification from a medical professional or medical records that establish specific facts that meet the regulatory definition are acceptable, including but not limited to: Letter from Drug or Alcohol rehabilitation agency; medical records; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
12	P27	At risk of homelessness?	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Other records that establish the participant is “at risk” for homelessness, including but not limited to: Eviction notice, letter from official at homeless shelter.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail that the participant meets the definition of “at risk” for homelessness.</p> <p>For example, rent/mortgage unpaid or overdue; often borrows to pay rent/mortgage; real estate taxes unpaid or overdue; temporarily sharing space with family or friend; involuntarily moved several times in last year; credit history or background disqualifies from most rental/lease agreements; cannot pay rent/mortgage most months; frequently has unpaid or overdue electric/gas/water bills; evicted from a residence in the last 12 months; lived in a shelter during the past 12 months.</p> <p>OR</p> <p>SIGNED ATTESTATION: Participant signed self-attestation. Or, signed attestation from a third-party who has knowledge of the participant’s living situation.</p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
13	P29	Failed to find employment after using WIA Title I?	Y/N	N	<p>NOTES: <i>(1) Participants receiving only core services may be included or excluded based on enrollment rules of WIA program in your area. However, it is essential that the one-stop office confirm whether the participant was officially enrolled in WIA</i> <i>(2) Validation of this data element is a two-step process: (a) validate with the WIA provider that the participant was enrolled in WIA Title I (adult services), and (b) validate that the participant was not subsequent to the WIA enrollment.</i></p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish WIA Title I enrollment, official government records are acceptable, such as: WIA correspondence with participant, written crosscheck request, or other program related document.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish WIA Title I enrollment, case notes must also detail: (1) that a crosscheck against WIA enrollment data was made, and (2) how it was made (e.g., phone call).</p> <p>OR</p> <p>SIGNED ATTESTATION: To establish no employment at time of application, participant signed self-attestation is acceptable.</p> <p><i>NOTE: WIA enrollment cannot be confirmed by self-attestation. It must be documented by an official document or case notes.</i></p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
14	P30	Low employment prospects ?	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official government records, medical records, or other official records that establish one of more significant barrier to employment exist, including but not limited to: Receipt of Social Security Disability Insurance (SSDI), other Social Security Administration records, school records, sheltered workshop certification, social service records or referrals; Letter from director of shelter or institution providing temporary living accommodations, results of literacy testing, standardized test results; certification from a medical professional or actual medical records.</p> <p><i>NOTE FOR SCSEP VALIDATORS:</i> The following barriers may already have been successfully validated (i.e. PASS): P8 – Homeless, P22 – Limited English proficiency, P24 – Low literacy skills?, and P26 – Disability? If any were validated, the validator would be able to automatically check PASS for this data element IF the case file establishes that one of these barriers was relied on to establish low employment prospects.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail: (1) participant has one or more significant barrier to employment; (2) how that determination was made that the condition described in the official case notes or attestation form contributes to low employment , (3) the source of the information, (4) the contact at the source, and (5) the date that information was obtained.</p> <p>AND</p> <p>SIGNED ATTESTATION: Participant self-attestation that establishes one or more significant barrier to employment exists is acceptable, except for disability, severe disability and frail, which require a higher level of documentation. Information on the attestation form should include identification the situation itself, and specific information which explains why the attesters situation can be considered as a significant employment barrier.</p>	Support
15	P33	Date of signing	Date Format MM/DD/YYYY Y >= 1/1/1973		<p><i>NOTE: Validation of this data element is a two-step process:</i> (1) confirmation of the presence of the participant's signature in field P32, and (2) matching the date in field P33 with the date entered in SPARQ. Both requirements must be met for a "yes" answer.</p> <p>CONFIRMATION OF SIGNATURE OR DATE: Confirm date that applicant signed and presence of signature on eligibility determination.</p>	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
16	P43	Date of eligibility determination	Date Format MM/DD/YYYY >= 1/1/1973		<p>NOTE: Validation of this data element is a two-step process: (1) confirmation of the presence of the signature of an authorized project official in field P42, and (2) matching the date in field P43 with the date entered in SPARQ. Both requirements must be met for a "yes" answer.</p> <p>CONFIRMATION OF SIGNATURE OR DATE: Confirm date that director or authorized representative signed and presence of signature on participant form.</p>	Match
17	A15b.1	Reason for approved break in participation	i_Family/health ii_Personal iii_Administrative iv_Other		<p>NOTE: Validation of this data element is a three-step process: (1) verification of the existence of a written grantee policy regarding breaks in participation. Without evidence of such a policy, no break in participation will pass validation. Once the existence of a policy regarding breaks in participation is verified, validation of this data element requires two additional steps: (2) valid entry for A 15 (start date) and A15c (end date) if applicable, and (3) confirmation that the reason entered is within the policy of the grantee concerning breaks in participation. All three requirements must be met for a "yes" answer.</p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official grantee or sub-grantee records that establish the reason for the break in participation, and that the break was authorized pursuant to the grantee's written policy.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail: (1) the reason for the break in participation, (2) the start date and (if applicable) end date of the break in participation, and (3) that the break was authorized pursuant to the grantee's written policy.</p>	Support
18	A19.1	Total hours paid in Q1	Integer between 0 and 560	0	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official grantee, sub-grantee, or host-agency records that establish hours paid during the quarter, including: Payroll or time records showing quarterly hours. (You may use all paychecks issued in the quarter even if the pay period extends into a different quarter.)</p>	Match
19	A19.2	Total hours paid in Q2	Integer between 0 and 560	0		Match
20	A19.3	Total hours paid in Q3	Integer between 0 and 560	0		Match
21	A19.4	Total hours paid in Q4	Integer between 0 and 560	0		Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
22	A21.1	Total hours of paid training received in Q1	Integer between 0 and 560	0	OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official grantee, sub-grantee, or host-agency records or other official records that establish the number of hours of paid training during the quarter, including but not limited to: Payroll or time records showing quarterly hours; records from training provider; reports and print-outs from web-based tools OR DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail: (1) the number of hours of paid training, (2) when the training was provided, and (3) who provided the training.	Match
23	A21.2	Total hours of paid training received in Q2	Integer between 0 and 560	0		Match
24	A21.3	Total hours of paid training received in Q3	Integer between 0 and 560	0		Match
25	A21.4	Total hours of paid training received in Q4	Integer between 0 and 560	0		Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

TABLE IV.2
PERFORMANCE SAMPLE VALIDATION INSTRUCTION

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
1	P44	Recert: Number in family	Integer > 0		<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish the number in family at the time of recertification, official government records or other official records are acceptable, including but not limited to: A HUD form, or a lease.</p> <p>To establish a family-of-one is due to disability, official government or other official records are acceptable, including but not limited to: Receipt of Social Security Disability Insurance (SSDI), other Social Security Administration records; school records; sheltered workshop certification; social service records or referrals.</p> <p>Alternatively, certification from a medical professional or medical records that establish specific facts that meet the regulatory definition are acceptable, including but not limited to: Letter from Drug or Alcohol rehabilitation agency; medical records; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p> <p><i>NOTES:</i> (1) <i>TEGL requires that the record of documents must be jointly signed by participant and grantee interviewer.</i> (2) <i>A 'Disability Identification Card' issued by the State is not acceptable unless there is documentation that the medical standards used to issue the card meet the regulatory definition.</i></p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish the number in family at the time of application, case notes must also detail: (1) the number in family as defined by TEGL 12-06, and (2) the rationale for accepting information without a signature.</p> <p><i>NOTE: Case notes are not acceptable for establishing family-of-one is due to disability.</i></p> <p>OR</p> <p>SIGNED ATTESTATION: To establish the number in family at the time of recertification, signed attestation from a third-party who has knowledge of the number in family and reflects the living situation at time of recertification.</p> <p><i>NOTE: Participant self-attestation is prohibited.</i></p>	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
2	P45	Recert: Total includable family income (12-month or 6 month annualized)	Number with 2 decimal places between 0.00 and 100000.00	0.00	<p><i>Validation of this data element is a two-step process:</i></p> <p>(1) validate that total includable family income was correctly calculated in accordance with the TEGL; and</p> <p>(2) validate consistency with program requirements which stipulate that in order for a participant to be eligible, his or her family income must be less than or equal to 125% of the federal poverty line for the appropriate family size.</p> <p><i>Both requirements must be met for a "yes" answer.</i></p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Validation requires that both</p> <p>(1) Official documents and business records establish includable income, and</p> <p>(2) signed attestation establishes that no other includable income exists.</p> <p>Government records or other official records that establish the amount of income for the 6-month or 12-month look-back period are acceptable, including but not limited to:</p> <p>Pay stubs; Social Security Award letters; earning statements from employers; pension statements; bank statements showing interest.</p> <p>NOTES:</p> <p>(1) TEGL requires that the record of documents must be jointly signed by participant and grantee interviewer.</p> <p>(2) Income tax returns can often be a helpful part of the documentation but they will rarely be sufficient in themselves to establish the amount of income for the 6-month or 12-month look-back period because they cover a complete calendar year. Additional documentation will usually be required to establish includable income for the entire look-back period.</p> <p>OR</p> <p>DETAILED CASE NOTES: (For Claims of Zero Income Only) Case notes based on information from a knowledgeable third-party are acceptable to</p> <p>(1) explain how participant supported self if zero income is claimed or</p> <p>(2) to document that no other includable income exists.</p> <p>In addition to the standard requirements for all case notes, must also:</p> <p>(1) confirmation of zero income and/or that no other family income exists,</p> <p>(2) explain how participant supported self, and (3) how that confirmation was made.</p> <p>OR</p> <p>SIGNED ATTESTATION: (For Claims of Zero Income Only) If zero income is claimed, participant signed self-attestation or signed third-party attestation is that explains how participant supported self is required.</p> <p>Beyond establishing total includable family income through official documents and business records, participant signed self-attestation is also required to document that no other includable family income exists.</p>	Match

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
3	P46	Recert: Signature of participant	Y/N	N	CONFIRMATION OF SIGNATURE OR DATE: Confirm participant signature.	Support
4	P50	Recert: Date of recertification determination	Date Format MM/DD/YYYY >= 1/1/1973		<i>NOTE: Validation of this data element is a two-step process:</i> (1) confirmation of the presence of the signature of an authorized project official in field P49, and (2) matching the date in field P50 with the date entered in SPARQ. <i>Both requirements must be met for a "yes" answer.</i> CONFIRMATION OF SIGNATURE OR DATE: Confirm date that director or authorized representative signed and presence of signature on eligibility determination.	Match
5	P51	Severe Disability ?	Y/N	N	OFFICIAL DOCUMENTS OR BUSINESS RECORDS: When a medical professional certification or statement is used as support , related documentation should be an official government record or other official record that (1) indicates that a medical professional made a determination of disability and (2) describes how the disability meets the regulatory definition, including but is not limited to: medical records; certification from a medical professional; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record. When a specific certification or statement is not used as support , official government or other official records may still be used as long as they establish how the disability meets the regulatory definition, including but not limited to: Social Security Administration records; school records; sheltered workshop certification; social service records or referrals; community-based aging and disability organizations; social service; agency record or referral; Independent Living Center statement; letter from group home administrator; referral from Vocational Rehabilitation <i>NOTES:</i> (1) <i>Medical professional certifications or statements must not merely conclude that a severe disability exists. Rather, they must clearly establish specific facts that meet the regulatory definition.</i> (2) <i>Receipt of SSDI is NOT sufficient to document severe disability.</i> SPECIFIC WAIVER FACTOR ELEMENT INFORMATION <i>Waiver factor elements (P51, P52, P53 and P54) should be marked 'Pass' in the Data Validation worksheets in SPARQ only if the reported value for the element has been updated after April 1 of the program year before the performance sample was drawn. The Validation screens will display the date that each of the waiver factor elements were last updated. Validators should mark the element as a 'Pass' only if there is documentation of an update of the information of these elements that occurred after that date.</i>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
6	P52	Frail?	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: When a qualified professional certification or statement is used as support, related documentation should be an official government or other official record that</p> <ul style="list-style-type: none"> (1) indicates that a qualified professional made a determination of frailty and (2) describes how the disability meets the regulatory definition, including but is not limited to: medical records; certification from a qualified professional; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record. <p>When a specific certification or statement is not used as support, official government or other official records may still be used as long as they establish how the frailty meets the regulatory definition, including but not limited to:</p> <ul style="list-style-type: none"> Social Security Administration records; school records; sheltered workshop certification; social service records; document from a rehabilitation agency/organization to include a recent evaluation; social service agency record or referral; community-based aging and disability organizations; Independent Living Center statement; letter from group home administrator. <p><i>NOTE: Receipt of SSDI is NOT sufficient to document frailty.</i></p> <p>SPECIFIC WAIVER FACTOR ELEMENT INFORMATION <i>Waiver factor elements (P51, P52, P53 and P54) should be marked 'Pass' in the Data Validation worksheets in SPARQ only if the reported value for the element has been updated after April 1 of the program year before the performance sample was drawn. The Validation screens will display the date that each of the waiver factor elements were last updated. Validators should mark the element as a 'Pass' only if there is documentation of an update of the information of these elements that occurred after that date.</i></p>	Support
7	P53	Old enough for but not receiving SS Title II? (Insufficient wage credits to qualify).	Y/N	N	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official government document that establishes that the participant has not worked in the U.S. for 40 quarters, including but not limited to:</p> <ul style="list-style-type: none"> Social Security Administration documents (e.g. Social Security Statement) or immigration records that show that participant has not been in the U.S. for 40 quarters. <p>SPECIFIC WAIVER FACTOR ELEMENT INFORMATION <i>Waiver factor elements (P51, P52, P53 and P54) should be marked 'Pass' in the Data Validation worksheets in SPARQ only if the reported value for the element has been updated after April 1 of the program year before the performance sample was drawn. The Validation screens will display the date that each of the waiver factor elements were last updated. Validators should mark the element as a 'Pass' only if there is documentation of an update of the information of these elements that occurred after that date.</i></p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
8	P54	Severely limited employment prospects in area of persistent unemployment?	Y/N	N	<p><i>NOTE: Validation of this data element is a two-step process:</i> (1) validate severely limited employment prospects; (2) validate area of persistent employment. Both requirements must be met for a "yes" answer.</p> <p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish that more than one significant barrier to employment exists, official government document, certification from a medical professional, actual medical record, or other official record is acceptable.</p> <p><i>NOTE: The following are barriers which count towards this element if they can be successfully validated. Validators should refer to the documentation requirements:</i> P8 – Homeless, Letter from director of shelter or institution providing temporary living accommodations. P22 – Limited English proficiency, P24 – Low literacy skills?, Results of literacy testing, or standardized test results. P26 – Disability? Receipt of Social Security Disability Insurance (SSDI), other SSA records; school records; sheltered workshop certification; social service records or referrals, letter from Drug or Alcohol rehabilitation agency; medical records; physician's statement; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p> <p>To establish area of persistent unemployment, check county lookup table in SPARQ. If city is used rather than county, documentation from authoritative source, such as the state Labor Market Information office, must establish that the city had an unemployment rate at least 20% higher than the national average for 2 of the last three years.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish that more than one significant barrier to employment exists, case notes must also detail: (1) description of each of the significant barriers claimed, and (2) how it was determined that those barriers exist.</p> <p>OR</p> <p>SIGNED ATTESTATION: Participant signed self-attestation that establishes more than one barrier to employment exists, except for disability, severe disability and frail, which require a higher level of documentation.</p> <p><i>NOTE: Area of persistent unemployment cannot be validated by participant self-attestation.</i></p> <p>SPECIFIC WAIVER FACTOR ELEMENT INFORMATION Waiver factor elements (P51, P52, P53 and P54) should be marked 'Pass' in the Data Validation worksheets in SPARQ only if the reported value for the element has been updated after April 1 of the program year before the performance sample was drawn. Validation screens will display the date that each of the waiver factor elements were last updated. Validators should mark the element as a 'Pass' only if there is documentation of an update of the information of these elements that occurred after that date. If the SPARQ system indicates that the last update is older than the minimum date, the validator will be reminded of the rules with a message, but may still validate the element as a 'Pass' if there is evidence the update occurred within the time frame.</p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
9	E6	If exit is not due to unsubsidized employment, other reason for exit	1_Move_d_from_area 2_For_cause 3_Voluntary 4_Non-income_eligible 5_Durational_limit 6_Administrative_reasons 7_Deceased 8_Health/medical 9_Family_care 10_Institutionalized	1_Moved_from_area 2_For_cause 3_Voluntary 4_Non-income_eligible 5_Durational_limit 6_Administrative_reasons	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish an exclusion for death, an official government document or other official record is acceptable, including but not limited to: Death record or certification, or death notices published through the internet, in newspapers, and local funeral homes.</p> <p>To establish an exclusion for health/medical, family care, or institutionalized, medical records or other official records are acceptable, including but not limited to: Actual medical records; physician's statement or other certification from a medical professional; letter from official at medical facility or institution; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish an exclusion for institutionalized, case notes must also detail that the participant is receiving 24-hour care in a facility like a prison or hospital and is expected to remain there for at least 90 days. A disabled person residing in a facility is not considered institutionalized.</p> <p><i>NOTE: Case notes are not accepted as support for validating death, health/medical, or family care.</i></p> <p>OR</p> <p>SIGNED ATTESTATION: To establish an exclusion for death, signed attestation from a knowledgeable third-party is acceptable.</p> <p>To establish an exclusion for health/medical, family care, or institutionalized, a participant signed self-attestation or signed attestation from a knowledgeable third-party is acceptable.</p> <p><i>NOTE: Please see the participant signed self-attestation and third-party signed attestation form that provide specific examples of the language required as source documentation</i></p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
10	E7	Date of exit or other closing of record	Date Format MM/DD/YYYY >= 7/1/2004		<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: If participant has signed Exit waiver of confidentiality, confirm signature on the Exit Form where the date of signing is on or within three days of the date listed for this data element.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail the date of exit.</p> <p>For example, a dated exit interview documented either by a dated form or by a detailed case note is acceptable.</p>	Match
11	E9a	Exclusion discovered after exit	1_Deceased 2_Health/medical 3_Family_care 4_Institutionalized		<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: To establish an exclusion for death, an official government document or other official record is acceptable, including but not limited to: Death record or certification, or death notices published through the internet, in newspapers, and local funeral homes.</p> <p>To establish a exclusion for health/medical, family care, or institutionalized, medical records or other official records are acceptable, including but not limited to: Actual medical records; physician's statement or other certification from a medical professional; letter from official at medical facility or institution; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p> <p>OR</p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, to establish an exclusion for institutionalized, case notes must also detail that the participant is receiving 24-hour care in a facility like a prison, skilled nursing facility or hospital and is expected to remain there for at least 90 days. Person with a disability residing in a community-based residential facility with or without long term care supports is not considered institutionalized.</p> <p><i>NOTE: Case notes are not accepted as support for validating death, health/medical, or family care.</i></p> <p>OR</p> <p>SIGNED ATTESTATION: To establish an exclusion for death, signed attestation from a knowledgeable third-party is acceptable.</p> <p>To establish an exclusion for health/medical, family care, or institutionalized, a participant signed self-attestation or signed attestation from a knowledgeable third-party is acceptable.</p> <p><i>NOTE: Please see the participant signed self-attestation and third-party signed attestation form that provide specific examples of the language required as source documentation</i></p>	Support

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
12	U28c	Any wages for first quarter after exit quarter?	i_No_wages ii_Yes_in-state iii_Yes_out-of-state	i_No_wages vii_Unable	<p>OFFICIAL DOCUMENTS OR BUSINESS RECORDS: Official records that establish that any wages were earned by the participant, including but not limited to: Written statement of earnings from employer; or pay stubs.</p> <p>To establish an exclusion for death, an official government document or other official record is acceptable, including but not limited to: Death record or certification, or a notice from the paper death notices published through the internet, in newspapers, and by local funeral homes.</p> <p>To establish an exclusion for health/medical, family care, or institutionalized, medical records or other official records are acceptable, including but not limited to: Actual medical records; physician's statement or other certification from a medical professional; letter from official at medical facility or institution; psychologist's diagnosis; rehabilitation evaluation; disability records; Veteran's medical records; vocational rehabilitation letter; worker's compensation record.</p> <p><i>OR</i></p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail wages were earned in quarter: <i>NOTE: Given that follow-ups are an integral part of case management, the documented observations by the case manager of the participant at work would be sufficient to show that wages were received by the participant in the applicable quarter.</i></p> <p>To establish an exclusion for institutionalized, case notes must also detail that the participant is receiving 24-hour care in a facility like a prison or hospital and is expected to remain there for at least 90 days. A disabled person residing in a facility is not considered institutionalized. <i>NOTE: Case notes are not accepted as support for validating death, health/medical, or family care.</i></p> <p><i>OR</i></p> <p>SIGNED ATTESTATION: If employer has not provided information on wages after reasonable efforts (e.g. 3 unanswered calls or messages) were made by sub-grantee to obtain this information, participant signed self-attestation will be acceptable. <i>NOTE: If participant signed self-attestation is used, case notes must also document the sub-grantee's efforts to obtain the required information from the employer.</i></p> <p>To establish an exclusion for death, signed attestation from a knowledgeable third-party is acceptable.</p> <p>To establish an exclusion for health/medical, family care, or institutionalized, a participant signed self-attestation or signed attestation from a knowledgeable third-party is acceptable. <i>NOTE: Please see the participant signed self-attestation and third-party signed attestation form that provide specific examples of the language required as source documentation.</i></p>	Support
13	U29c	Any wages for second quarter after exit quarter?	iv_Yes_both _in_and_out			
14	U29e	Any wages for third quarter after exit quarter?	v_Yes_other_admin vi_Yes_supplemental vii_Unable viii_Excluded			
15	U30c	Any wages for fourth quarter after exit quarter?				

IV. SCSEP DATA VALIDATION INSTRUCTIONS

#	Form Number	Field Name	Valid Values	Negative Values	Source Documentation Requirements	Instructions
16	U29d	Earnings for second quarter after exit quarter	Number with 2 decimal places between 0.00 and 50000.00	0	<p><i>NOTE: Documentation of actual earnings is required for every increment claimed. That is, proof of earnings for a single week cannot be multiplied by 13 weeks in order to obtain earnings for an entire quarter.</i></p> <p>OFFICIAL DOCUMENTS AND BUSINESS RECORDS: Other official record that establishes the earnings in second and/or third quarter after the quarter of exit, including but not limited to: Written statement of earnings from employer, or pay stubs.</p> <p><i>OR</i></p> <p>DETAILED CASE NOTES: In addition to the standard requirements for all case notes, must also detail actual earnings for each increment claimed.</p> <p>For example, a call to the employer documented by a detailed case note is acceptable.</p>	Match
17	U29f	Earnings for third quarter after exit quarter				

GLOSSARY

Case File Missing: A record's case file cannot be located.

Data Collection Software (DCS): In 2004, DAS provided SCSEP DCS to grantees and sub-grantees because most had limited data collection and reporting capabilities. The DCS application allowed grantees to enter, store, and manage the SCSEP participant data required by DAS.

Data Validation (DV): The SCSEP DV initiative requires that all grantees validate the information that is used to establish participant eligibility and measure grantee performance. DV confirms the accuracy of key data elements in SPARQ used to calculate the SCSEP QPRs by examining a sample of participants' records. The DV process selects two separate samples (eligibility and performance) of participant records. When a record is selected for validation, validators compare specified data elements in SPARQ to source documentation (case files) for that participant. DV results in an estimate of the error rate for each data element selected for validation. By having all SCSEP grantees perform a standardized DV methodology, DOL is able to monitor sub-grantee and local area data collection, reporting, and performance, and to support the quality of the information used to assess the effectiveness of the SCSEP program. The DV webpage is accessed through SPARQ (www.sparq2.doleta.gov).

Eligibility Sample: The eligibility sample is a simple random sample and validates those data elements used to demonstrate program eligibility for a sample of participants who enrolled in SCSEP during the program year being validated.

Government Performance and Results Act (GPRA): Established in 1993, this Act holds federal agencies accountable for using resources wisely and achieving program results. GPRA requires agencies to develop plans for what they intend to accomplish, measure how well they are doing, make appropriate decisions based on the information they have gathered, and communicate information about their performance to Congress and to the public. One goal of SCSEP DV is to ensure that critical eligibility and performance data used to meet DOL ETA's GPRA responsibilities and the grantees' Congressionally-mandated performance goals are reasonably accurate by calculating an error rate for each data element validated.

Grantee Administrator: Grantee administrators are responsible for assigning the role of validator to one or more grantee staff or other personnel not involved in the collection or entry of participant data. They are also responsible for assuring that validators have the resources needed to complete the validation as required by DOL and for keeping the validation effort on schedule. Grantee administrators themselves have access to the DV utilities in SPARQ.

Invalid Record: A particular participant's record is included in a grantee's database in error.

Negative Value: Negative values are those values for a particular data element that are not validated. When that negative value is present for the relevant data element, the applicable row

on the worksheet is grayed out and the validator will not be able to click on a radio button. In general, validating negative values would be difficult, if not impossible, because the validator would be searching the case file to confirm that something was not present or an event did not occur.

Overall Error Rate: For each data element validated, the overall error rate is the number of records in which that data element is in error (received Fail) divided by the total number of records sampled. This error rate is displayed in the Summary and Analytical report.

Performance Sample: The performance sample is a stratified sample and validates only those data elements used in performance calculations for a sample of participants whose final performance was included in the QPR for the program year being validated. The stratified nature of the performance sample is similar to a simple random sample, except that each record is assigned a weight and records are selected based upon their weight.

Quarterly Performance Reports (QPRs): QPRs are generated to monitor SCSEP program progress. They are generated by DOL DAS at the sub-grantee, grantee, and nationwide levels, based on the data submitted by SCSEP grantees and their sub-grantees on their SCSEP program participants.

Recovery Act Grant: The grant which is funded by the American Recovery and Reinvestment Act of 2009.

Regular Grant: The grant which is funded with money from ETA's regular annual budget.

Reported Error Rate: For each data element validated, since values may not be present for every data element in each record sampled, the reported error rate includes in the denominator only those records for which the particular data element was validated. This error rate is displayed in the Summary and Analytical report.

SCSEP Performance And Results QPR (SPARQ) System: SPARQ is the national SCSEP database where SCSEP grantees submit their data to DOL DAS on a quarterly basis. In 2005, DAS authorized the development of a web-based version of the DCS to be integrated with the existing SPARQ database. That enhanced version of SPARQ, version 2.0, was implemented in June 2006. Further enhancements led to SPARQ version 3.0 in August 2007 to address legislative changes, as well as provide additional management tools and reports for use by grantees. SPARQ version 3.0 also includes data validation (DV) functionality. SPARQ is accessed through www.sparq2.doleta.gov with appropriate log in information from DOL.

Senior Community Service Employment Program (SCSEP): SCSEP is a part-time employment training program for low-income individuals aged 55 and over. Overseen by the U.S. Department of Labor (DOL)'s Employment and Training Administration (ETA), Division of Adult Services (DAS), the SCSEP program is run by grantees and their sub-grantees. It is authorized under Title V of the Older Americans Act of 1965, as amended.

Source Document/Documentation: When a record is selected for validation, validators compare specified data elements in SPARQ to source documentation (case files) for that participant to verify compliance with federal definitions. Using the source documentation to make the decision, validators determine if the information contained in the case file meets the specifications for the reported value. If the value for the data element supports/matches the source documents of the information included in participant's file, then validators select Pass; if the source documents do not support/match the data element, then validators select Fail.

Summary and Analytical Report: Summary and Analytical report is a report generated in the DV process that shows the number of errors and the error rates for each data element validated. This report is used by grantee and ETA staff to analyze the accuracy of the data elements submitted to SPARQ.

Validator: Validators are the people who actually conduct the DV once the random samples have been selected. Validators must be grantee staff or other personnel who are independent of the data collection process. Users with a role of validator and no other role will only have access to the DV utilities and My User Info in SPARQ. Local grantee staff and sub-grantees cannot be validators.