



Minnesota Department of **Human Services**

**Minnesota Temporary Assistance for Needy
Families (TANF) Work Participation
Case Review Report**

for

Federal Fiscal Year 2009 (FFY2009)

Published June 2010
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TANF Work Participation Case Review Report FFY 2009

What is the Work Participation Rate?

The Temporary Assistance for Needy Families (TANF) Work Participation Rate (WPR) is the federally mandated work performance requirement for states that have a TANF program. Minnesota's TANF program is the Minnesota Family Investment Program (MFIP).

The WPR was established under the Personal Responsibility and Work Opportunity Act (PRWORA) of 1996, along with penalties and incentives for states. The Federal Deficit Reduction Act of 2005 (DRA), also known as TANF Reauthorization, included changes to TANF WPR rules. The Final TANF Rule went into effect on October 1, 2008.

Each state has a federally computed Work Participation Rate (WPR). The Department of Human Services (DHS) also calculates individual county WPRs for the purpose of allocating performance-based funds to counties under the state Consolidated Fund. Therefore, it is important that counties and Employment Services/Providers (ES/ESP) accurately and consistently document and track work activities and hours to help improve the WPR and TANF Work Participation Case Review results. The case reviews are an internal control to ensure consistent measurement of the work participation rate and are part of the federally required Minnesota Work Verification Plan.

States must meet a 50 percent WPR standard; the Adjusted Target in Table 1 is for a decline in the caseload as calculated by the Caseload Reduction Credit (CRC). A reduction is applied if the State's average monthly assistance caseload decreased the previous Federal Fiscal Year (FFY) in comparison to its average monthly caseload in FFY 2005 (baseline year under DRA). Table 1 shows Minnesota's WPRs since FFY 2004. The Minnesota WPR target for FFY 2009 is 39.8 percent; this is the same as FFY08 due to the American Recovery and Reinvestment Act of 2009 (Recovery Act).

Table 1 - Work Participation Rate			
FFY	Target	Adjusted Target (afterCRC)	WPR per ACF
2004	50	18.6	26.8
2005	50	18.8	28.9
2006	50	14.9	30.3
2007	50	44.6	28.1
		Corrective Compliance Plan	
2008	50	39.8	29.9*
2009	50	39.8	<i>Pending</i>

*With the inclusion of Excess MOE, Minnesota met adj. target

For 2009, each county in Minnesota was required to meet the adjusted WPR target or have a 5 percent improvement from their previous year's rate to earn their 2.5 percent WPR performance bonus. If a county does not meet the rate, they must submit a Performance Improvement Plan (PIP) as part of their biennial Service Agreement Plan to their county regional representative in the DHS Transition to Economic Stability (TES) division. If the PIP is approved, the county will receive the 2.5 percent WPR performance bonus. If the county does not submit or have an approved PIP, they do not receive a bonus.

Background and Review Process

The TANF regulations included in the 2005 DRA require states to monitor participants' engagement in work activities to verify hours of participation.¹ The Department of Human Services (DHS) Program Assessment and Integrity Division (PAID) is responsible for conducting this monitoring activity and reviews a statewide random sample of 100 TANF cases each quarter.

Bulletin 09-03-06, "DHS Continues Statewide Reviews of Temporary Assistance for Needy Families (TANF) Cases," provides additional information on the review process. The MFIP Employment Services Manual² (MFIP ES Manual) includes the MFIP Activity Daily Supervision, Documentation and Verification Guide in Appendix E. TANF reviewers use this primary resource as guidance in determining if the case file documentation and verification meet federal requirements.

In combination with performance measures, such as the MFIP and Diversionary Work Program (DWP) Self-support Index and the TANF WPR, case reviews provide the state and counties with information needed to improve overall program performance.

Four individual quarterly reports for FFY 2009 have been published with the details of the sample results by quarter. This report shows the quarterly and annual results and compares them to FFY08.

Review Samples

Each quarter, DHS randomly samples 100 TANF case/month combinations for cases that are in the federal work participation rate denominator, which are cases with a non-disregarded Work Eligible Individual (WEI)³ that have at least one hour of counted core or non-core activity. Some of these cases may also have non-countable hours.

¹ The regulation pertaining to the case review auditing process is 45 CFR 261.62 (b)(5).

² Available at:

http://www.dhs.state.mn.us/main/idcplg?IdcService=GETDYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=id_016957

³ Refer to Evaluation Note Issue 18 April 2009 The TANF Work Participation Rate for definitions of a WEI, core, and non-core activities. <http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-4064T-ENG>

Each sample is selected from the preceding quarter after all data have been frozen for federal reporting purposes. The TANF case reviewers examine financial and ES files and any supporting documentation for hours reported for the selected review month. The Workforce One (WF1) system contains the WPR activities and hours tracked by ES and the MAXIS system contains the paid work activities and hours tracked by financial workers.

TANF WP Case Review County Results Sent to Counties in Sample

Prior to the publication of each quarterly report, each of the counties with cases in the TANF case review sample receive a review packet consisting of the following:

- a cover letter and a findings information sheet that provides definitions and explanatory information on the summary and individual reports in the packet;

- a county summary (MAXIS Summary, Employment Services Summary, and Employment Services Summary by Provider);

- a case list with the individual review results; and

- a detailed individual case findings report for each case reviewed (MAXIS information and Employment Services information) that should be filed in each case file respectively.

Transferred Cases and Servicing Counties

DHS reports a transferred case in the servicing county's participation rate (the county that issued the most recent MFIP cash benefit for the benefit/report month) for federal reporting purposes. This practice is consistent with the MFIP ES Manual (4.36).

Therefore, the county that has the case included in its participation rate is given the case review finding whether or not the county took the action that caused the case to be correct or incorrect. We recommend counties review the IV-A Combined, POLI-Temp, and MFIP ES manuals as a refresher on the policy and procedures for transferring cases. The policy outlines the actions each agency should take including when a financial worker should do a referral to their local ESP and when an ESP should close a case on WF1 to allow the new ESP to open a case.

FFY 2009 TANF WP Case Review Results

October 2008 through September 2009

This report contains the annual TANF Work Participation (WP) Case Review results from the four quarters sampled in Federal Fiscal Year 2009 (FFY09), October 2008 through September 2009. Some data from FFY08 are also provided to illustrate the case review results over time. In FFY09 400 TANF work participation cases were reviewed for appropriate activities and required documentation on MAXIS and WF1/TEAMS (Hennepin County's Training and Employment Advanced Management System), and the financial and Employment Services case files.

Counties Reviewed

Table 2 shows the 56 counties represented in the 400 cases reviewed and the number of their cases that were sampled during FFY09.

Table 2 - Counties Sampled for FFY 2009			
County Name	Cases Reviewed	County Name	Cases Reviewed
Anoka	14	Mower	6
Becker	1	Nicollet	1
Beltrami	15	Nobles	1
Benton	1	Olmsted	6
Blue Earth	3	Otter Tail	5
Carlton	1	Pennington	1
Cass	7	Pine	1
Chisago	2	Pipestone	1
Clay	4	Polk	3
Crow Wing	5	Pope	1
Dakota	19	Ramsey	72
Dodge	1	Redwood	1
Douglas	1	Rice	4
Freeborn	1	Rock	1
Goodhue	1	St. Louis	16
Hennepin	127	Scott	4
Houston	1	Sherburne	4
Hubbard	2	Sibley	4
Isanti	2	Stearns	13
Itasca	4	Steele	1
Jackson	1	Swift	1
Kanabec	2	Traverse	1
Kandiyohi	4	Wabasha	1
Koochiching	2	Wadena	1
McLeod	1	Waseca	2
Martin	1	Washington	12
Mille Lacs	3	Winona	2
Morrison	2	Wright	6

Thirteen counties have never been sampled through September 2009: Big Stone, Brown, Cook, Grant, Lac Qui Parle, Lake, Lake of the Woods, Mahnomen, Marshall, Meeker, Red Lake, Wilkin, and Yellow Medicine.

Result Rates

Table 3 shows what percentage of cases was correct for each quarter in FFY09 and FFY08. The federally expected correct target rate is 90 percent.

Table 3 - FFY 2008 & FFY 2009 TANF WP Case Review Results (N=100 per qtr)	
FFY Quarter	Correct Cases
FFY 2008	
Oct-Dec 07	36%
Jan-Mar 08	34%
Apr-Jun 08	37%
July-Sept 08	42%
FFY08 Average:	37%
FFY 2009	
Oct-Dec 08	46%
Jan-Mar 09	48%
Apr-Jun 09	43%
July-Sept 09	42%
FFY09 Average:	45%

Although the state's rate of correct cases is below the target rate, the number of correct cases increased during FFY09. The FFY09 case review findings improved by 8 percentage points over the FFY08 average rate.

Figure 1, on page 6, shows the percentage of correct cases for each quarter in FFY 2008 and 2009.

Figure 1. FFY 2008-2009 TANF WP Case Review Finding Results

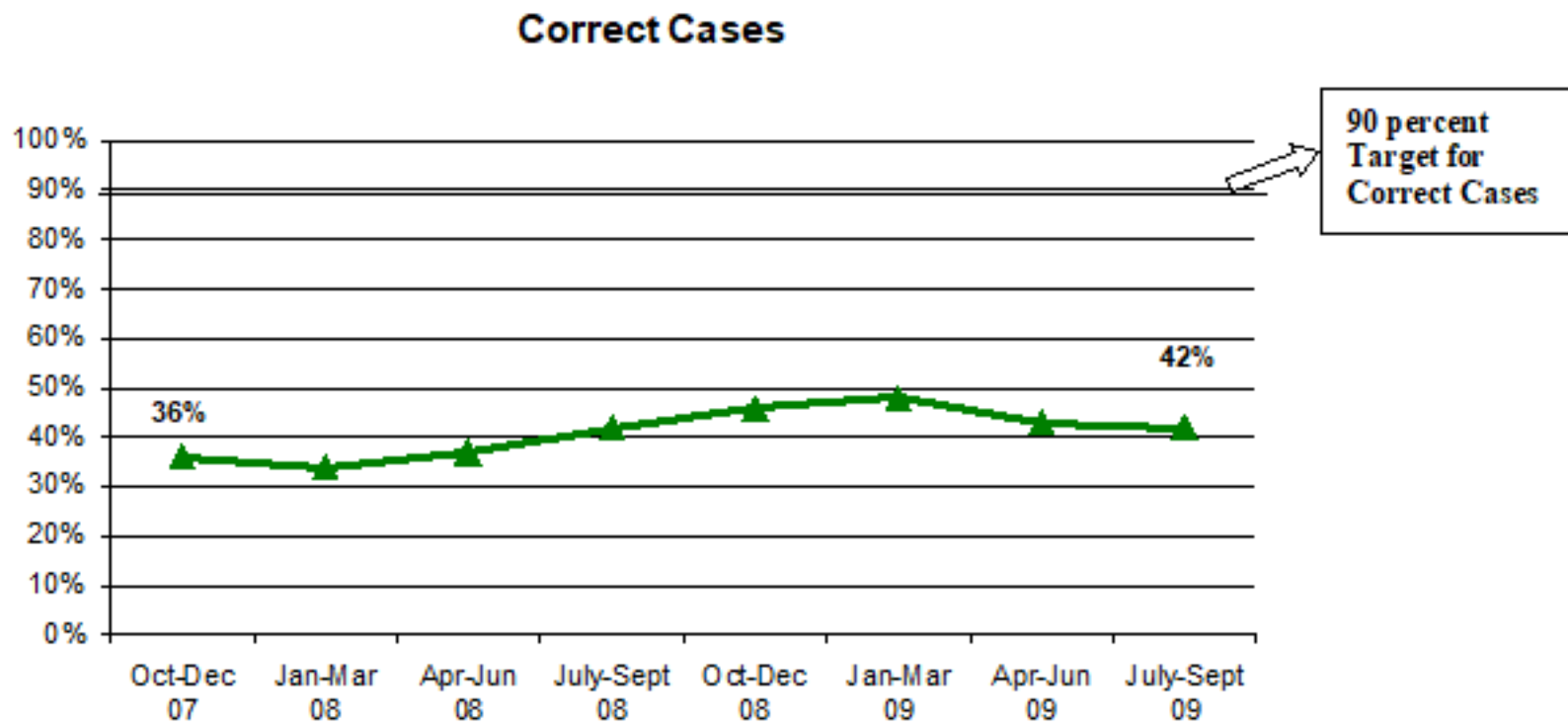
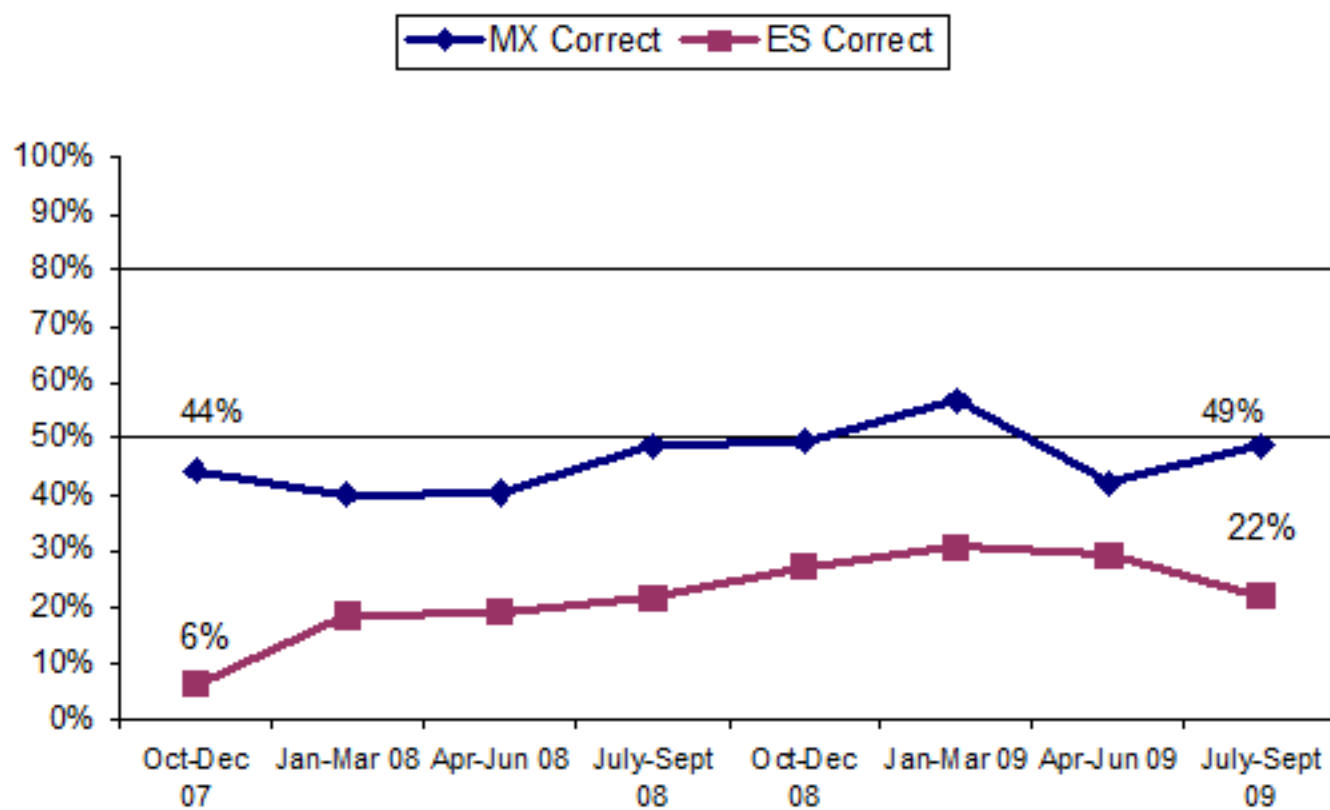


Table A1 in the Appendix (page 16) displays the detailed data used to create Figure 2. Table A1 shows county financial workers' FFY09 correct case results improved by 6 percentage points from FFY08 while ES job counselors' FFY09 correct case results improved by 10 percentage points from FFY08.

Figure 2 shows the percentage of correct cases for ES cases and MAXIS cases for each quarter in FFY08 and FFY09. Not all 100 cases in each sample have MAXIS and ES activity. Many cases only have MAXIS or ES activity, not both.

Figure 2. FFY 2008 & FFY 2009 MAXIS & ES Correct Cases Finding Results



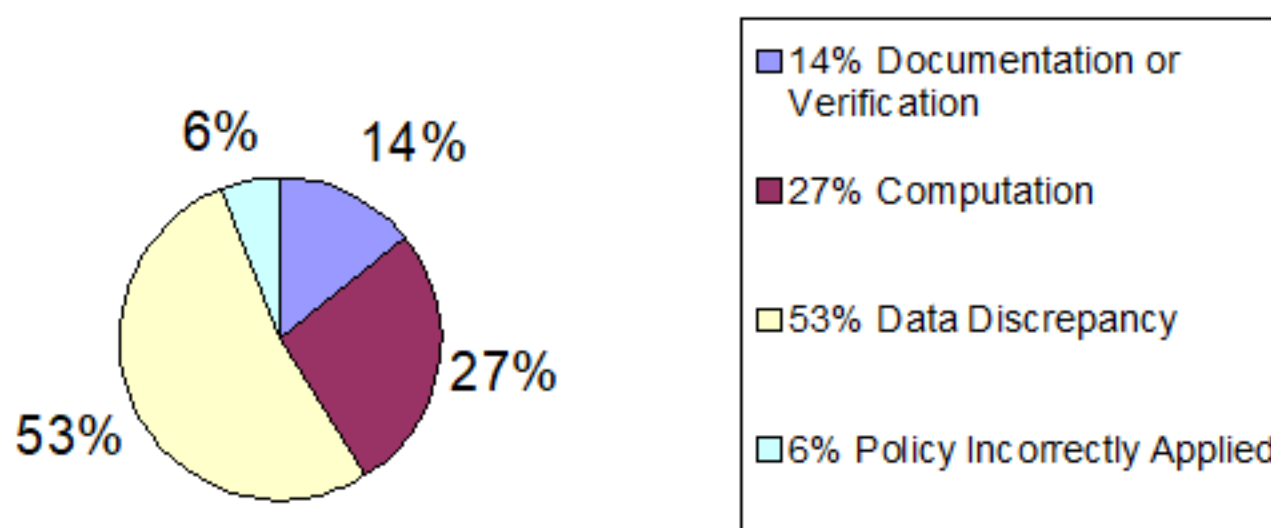
MAXIS Activities

While some cases had no MAXIS activities other cases had more than one. Table 4 shows the total count and percentage correct of each MAXIS activity type represented in the 294 cases with MAXIS activity for FFY09. The “% Correct” column shows the percentage of the “Total” activity type that is correct for FFY09 and a summary percentage. The 58 percent of correct activities is an increase of 6 percentage points over the 52 percent of correct activities for FFY08.

Table 5 - FFY 2009 MAXIS WPR Activity							
Activity Type	Oct-Dec 08	Jan-Mar 09	Apr-Jun 09	Jul-Sep 09	FFY Total	Total Correct	% Correct
Paid Work (JOBS)	76	69	78	76	299	175	59%
Self-Employment (BUSI)	3	0	4	7	14	6	43%
Total Activities:	79	69	82	83	313	181	58%

Figure 3 shows the total FFY09 errors by category type for the 132 MAXIS activities with errors. Refer to page 17 of the Appendix for definitions of the five error categories and examples of financial worker/MAXIS error causes.

Figure 3. FFY 2009 MAXIS WPR Errors by Category



Eighty percent of financial worker errors are computation and data discrepancy errors. This is an increase of 8 percentage points over the 72 percent of errors in these categories for FFY08.

Figure 4 on page 8 illustrates the MAXIS errors by category for FFY08 and FFY09.

Figure 4. FFY 2008-2009 MAXIS WPR Errors by Category

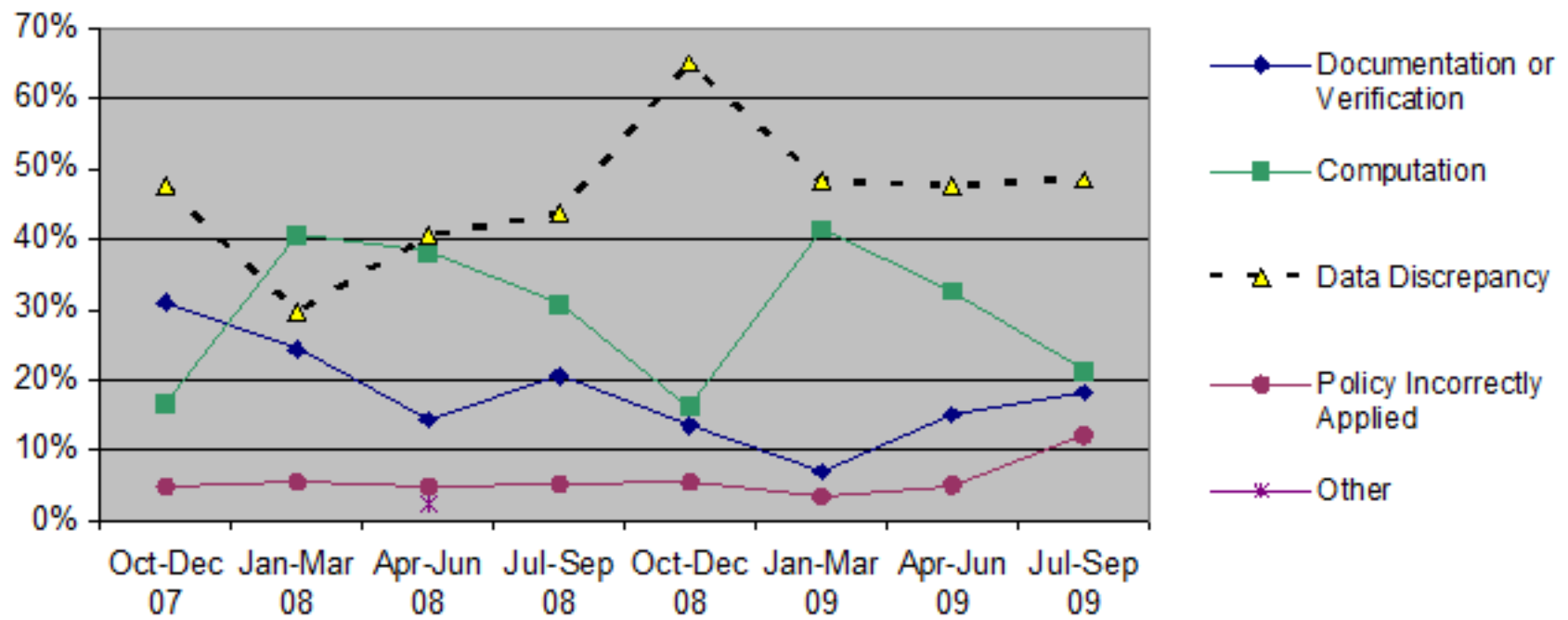


Table 5 shows the top five individual causes of errors by MAXIS/financial workers for FFY09. These top error causes represent 77 percent of the FFY09 causes of errors. DHS recommends that counties focus their improvement efforts in these areas.

Table 5 - FFY 2009 MAXIS Causes for Errors	
1) Hours recorded inconsistent with documentation in case file (Data Discrepancy)	37%
2) Rounding error in the calculation of Paid Employment hours (Computation)	13%
3) Employment is subsidized but no code entered on the JOBS panel (Data Discrepancy)	12%
4) Incomplete documentation of work hours (missing a pay stub(s) or other employer produced document) (Documentation)	8%
5) Math error - simple addition errors (Computation)	7%

The top MAXIS causes of errors for FFY08 and FFY09, from the above table, are 1, 2, 4, and 5. Error cause 3 was effective beginning Oct. 1, 2008.

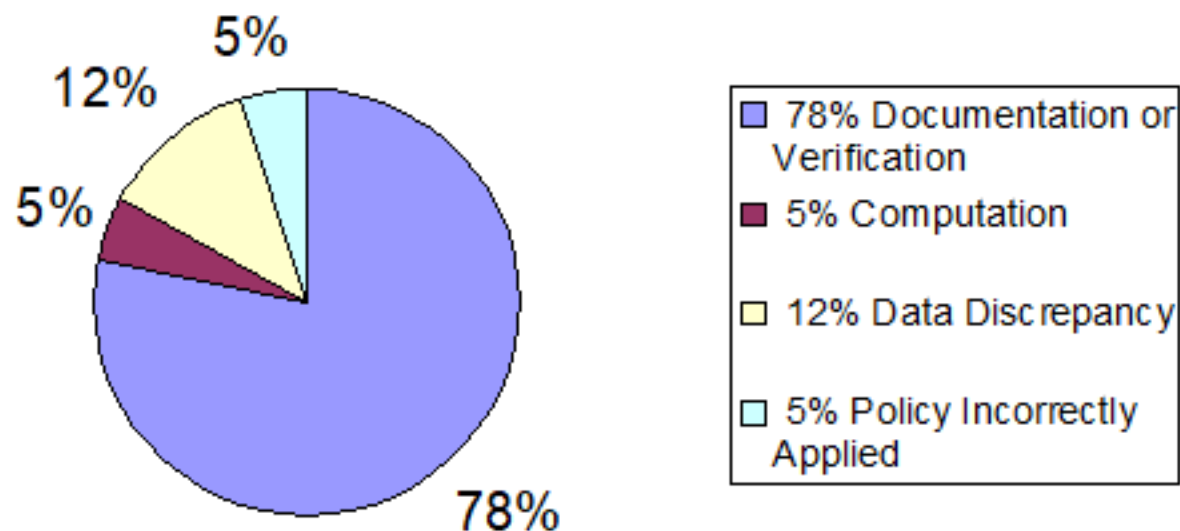
ES Activities

Table 6 shows the total count and percentage correct of each ES activity type represented in the 167 cases with ES activity for FFY09. The FFY09 correct **activities** percentage is 29 percent. This is an increase of 11 percentage points over the 18 percent of correct activities for FFY08.

Table 6 - FFY 2009 Employment Services WPR Activity							
Activity Type	Oct- Dec 08	Jan- Mar 09	Apr- Jun 09	Jul- Sep 09	Total Count	Total Correct	% Correct
Adult Basic Education	1				1	0	0%
Community Service Program	1	5		5	11	0	0%
ESL	2	1	3	4	10	1	10%
GED (activity <20)	2	1	1		4	3	75%
GED (activity =>20)	1		1		2	0	0%
High School Completion (activity <20)	16	12	14	8	50	35	70%
High School Completion (=>20)		2			2	2	100%
Job Search	11	6	5	8	30	1	3%
Job Skills directly related to employment	4	6	2	6	18	2	11%
Post secondary Voc/Ed =< 12 months	7	4	9	5	25	2	8%
Post secondary Voc/Ed 13-24 months	5	4	6	5	20	5	25%
Unpaid Work Experience	1	2	1	5	9	2	22%
Total Activities:	51	43	42	46	182	53	29%

Figure 5 shows the total FFY09 errors by category type for 129 ES activities with errors. Refer to page 17 of the Appendix for definitions of the five error categories and examples of ES error causes.

Figure 5. FFY 2009 ES WPR Errors by Category



Seventy-eight percent of participant and job counselor error causes are documentation errors.

Figure 6 illustrates the ES errors by category for FFY08 and FFY09. The primary ES errors occur in the documentation category. The DRA documentation requirements are more extensive for ES WPR activities than the MAXIS WPR activities.

Figure 6. FFY 2008-2009 ES WPR Errors by Category

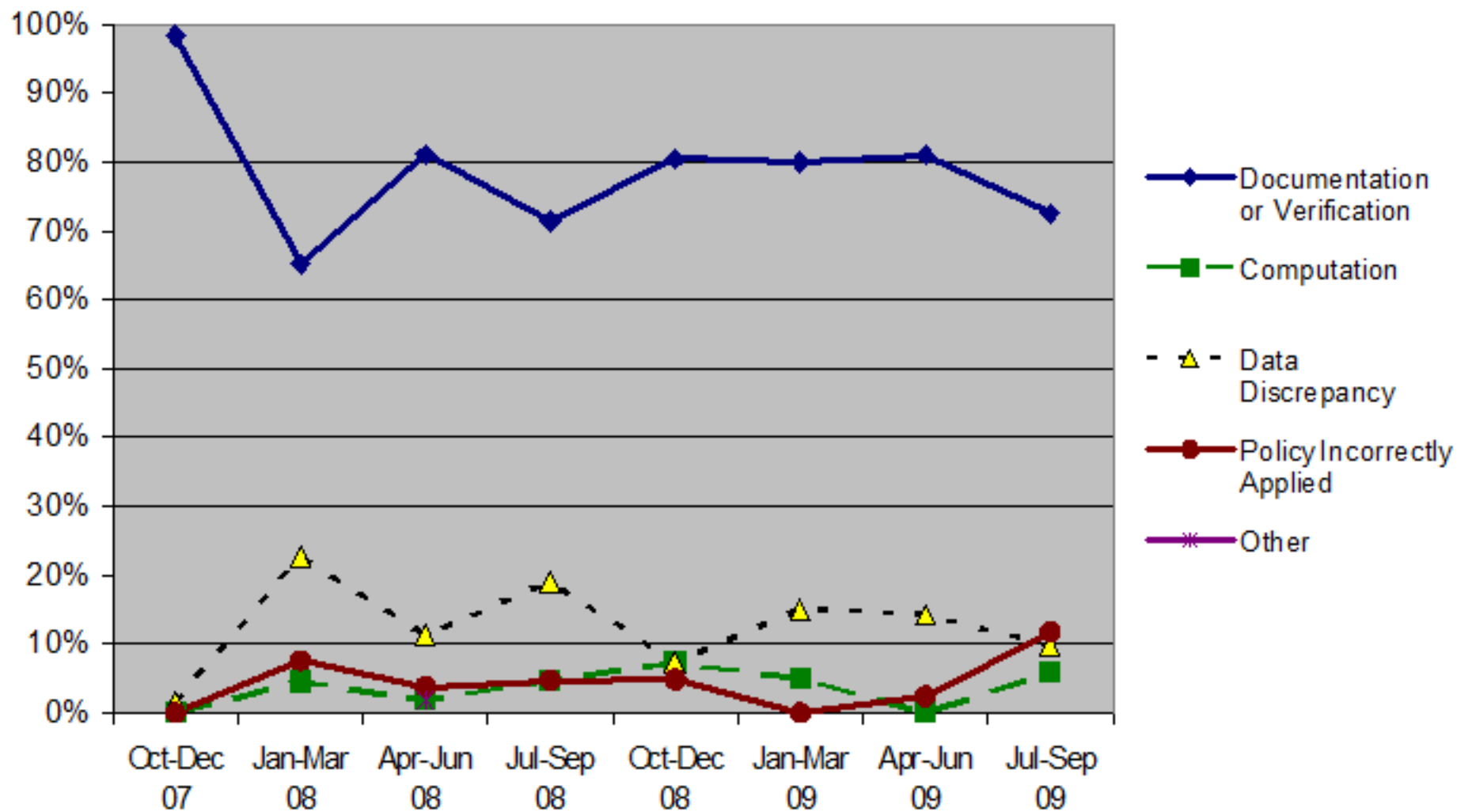


Table 7 shows the top five individual causes of errors by ESP/job counselors that occurred in FFY09.

Table 7 - FFY09 ES Causes for Errors	
1) No time sheet (or activity log) or group attendance sheets found in case file <i>(Documentation)</i>	14%
2) Missing the name/signature/phone number of person providing daily supervision/verifying hours <i>(Documentation)</i>	13%
3) No DHS-2883 (MDHS Request for Verification of School Attendance/Progress) or comparable form/on-line attendance record/time sheet/phone documentation <i>(Documentation)</i>	10%
4) Hours recorded are inconsistent with documentation in case file <i>(Data Discrepancy)</i>	9%
5) Missing ESP method of bi-weekly verification of at least one job contact <i>(Documentation)</i>	8%

The FFY09 ES causes for errors in Table 7 were exactly the same for FFY08.

Statewide Work Participation Rate

DHS calculates a Preliminary TANF WPR from the monthly data we submit to the Department of Health and Human Services (HHS). HHS calculates the TANF WPR from Minnesota's submitted reports. Refer to footnote 3 on page 2 for more information.

Table 8 shows the statewide count of cases that were reported as successfully participating in the WPR (in-numerator cases). All 100 cases in each quarter's sample was reported in the denominator.

Based on the corresponding documentation in the participant's case files for the 237 WPR cases:

- 151 cases were correctly counted in the WPR numerator
- 86 cases were incorrectly counted in the WPR numerator

Six additional cases that were counted only in the denominator should have been counted in the WPR numerator according to the corresponding documentation. These cases were not counted because system coding was missing.

Of the 400 cases reviewed, our findings show that 80 cases (86-6) should be removed from our reported WPR for FFY2009. We cannot quantify the negative impact this would have on our preliminary WPR for FFY2009 because the federally reported rate is the average of monthly rates.

Table 8 - FFY 2009 TANF WPR Numerator Disposition Results					
Description	Oct-Dec 08	Jan-Mar 09	Apr-Jun 09	Jul-Sep 09	Total Cases
TANF WPR Cases Reviewed	100	100	100	100	400
Cases reported in WPR Numerator	60	62	58	57	237
Cases correctly counted in WPR Numerator based on documentation	41	38	40	32	151
Cases incorrectly counted in WPR Numerator based on documentation	19	24	18	25	86
Cases should have been in WPR Numerator based on documentation	4	2	0	0	6

Lessons Learned

The TANF WP Case Review process continues to help clarify policies and develop new policies and procedures for reporting and documenting work activities. This information, along with the statewide corrective action process section, can help improve counties' case review performance results. DHS has learned many lessons from the reviews and we recommend that counties focus on the following suggestions for reducing errors.

Improve communication between financial workers and job counselors. It is crucial for financial workers and job counselors to communicate with each other and keep one another current with information about their shared participants.

Examples of issues:

- Make sure the pay stubs provided to ESP get sent to the financial worker since the paid work hours for the WPR are reported from MAXIS.
- Social worker, public health, or ESP should notify the financial worker when a student graduates from high school, obtains the General Equivalent Diploma (GED), changes from the school to employment option, or changes from the employment to school option.
- Make sure to send a Status Update to the financial worker with the subsidized employment start/end dates and any income paid information available.
- Financial worker should notify the ESP when a case reopens after a recent closing.

Pay close attention to information on pay stubs. Financial workers must be more attentive to the pay stub dates, the number of paid hours per pay category (regular, overtime pay vs. shift differential only), adding and rounding work hours, and entering accurate information on the JOBS panel for the correct month. Eighty percent of the FFY09 errors were due to computation and data discrepancy errors by financial workers.

Document method used for verification for job search. Job counselors must document the specific job contact that was verified and the method used to verify the bi-weekly job contact (directly on activity log or in a case note). Refer to Appendix E of the MFIP ES Manual for detailed information on documentation requirements.

Update county/provider forms and train participants regarding documentation requirements. County and provider forms do not always contain all the needed data fields to ensure compliance with DRA documentation requirements. Randy Rennich is available to review county and provider forms for missing elements; send the form(s) to him at Randy.Rennich@state.mn.us.

Train participants to complete forms. Show participants how to fill out forms such as the Household Report Form (DHS-2120), Self-Employment Report Form (DHS-3336), MFIP/DWP Employment Services Weekly Job Search Activity Log (DHS-5784 available at <http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-5784-ENG>), and to provide the detailed

information or additional documentation required. This is an ongoing and time consuming activity, but counties can use the documentation requirements to teach participants to build skills that are transferrable to a job.

Track this time as:

- Assessment – the participant is involved or engaged in an Assessment (initial/formal/continuous) related activity, or
- Job Search/Job Readiness Assistance (JS/JRA) when the nature of the interaction meets the definition of JS/JRA.

Transferable skills include the ability to:

- learn – trainable, receptive to learning opportunities and constructive feedback
- follow instructions – listens and remembers instructions, asks questions to clarify instructions and to better understand expectations
- read directions/instructions – interprets information accurately to complete task
- attend appointments or check-ins – responsible, dependable, respectful, actively communicates if unable to attend appointments
- submit HRF or activity logs – completes assigned tasks as expected, committed, documentation is completed, documentation is clear and submitted timely
- participate in scheduled opportunities – actively participates in overviews, Employment Plan development, training\classes, receptive to constructive feedback and suggestions on documentation, uses new information to make adjustments etc.

Providers can give additional assistance and training when conducting weekly check-in and other face-to-face meetings with participants who are having difficulty with forms and activity logs. Use group meetings, trainings, and job club as opportunities to have participants who successfully complete activity logs share how they do it.

Send NOITS immediately. The job counselor should assess a participant's understanding of the expectations and capability to complete the activity logs. If the participant understands and is capable, do not accept activity logs that do not meet the documentation requirements. The job counselor's signature means that the JC has reviewed, verified, and accepted the activity log. Send the participant a NOITS when the weekly/bi-weekly documentation is incomplete or not received. This emphasizes the importance for the participant to follow the Employment Plan requirements and gives participants more time to comply with them by documenting each requirement missed by the date due. In addition, the financial worker may appreciate getting notification earlier to avoid timing issues at their 10-day cutoff. See the link at: <http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-3175-ENG>

Statewide Corrective Action Process

Recommended actions:

Review this report, *TANF Work Participation Case Review Report for FFY 2009*, with appropriate staff and management to gain a better understanding of the results, activities, and categories of the errors, and use it as a tool to set improvement goals.

Review general information about the case finding results with financial and ES staff and discuss what each area can do to make improvements.

Review the county and ES procedures for recording hours of participation in MAXIS and WF1. Although income may not be countable toward calculating an MFIP grant amount, the hours may count toward the WPR (e.g., work study hours). Revise procedures when necessary.

Review time sheets, activity logs, and other documents used to document/verify hours of participation to ensure the forms meet all of the documentation requirements. Revise forms as necessary. Contact Randy.Rennich@state.mn.us for assistance in developing appropriate forms. (Refer to the MFIP Activity Guide in Appendix E of the MFIP ES Manual.)

Conduct periodic management/supervisor reviews of participant case files, case notes, and the corresponding data entered in the MAXIS system and WF1 systems to ensure proper documentation and data entry. Use the following forms as a tool to assist counties in reviewing financial and Employment Services cases for documentation purposes:

- Supervisory Case File Review – TANF Work Participation Verification Documentation Checklist for Unpaid Core and Non-Core Activities. Use the link to access this from the CountyLink, DHS Program Resources, Employment Services home page
http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_147082.pdf
- Financial Case Review – TANF Work Participation Documentation, Verification, and Coding Checklist. Use the link to access this from the CountyLink, DHS Program Resources, DWP and MFIP home page
http://www.dhs.state.mn.us/main/groups/agencywide/documents/pub/dhs16_146446.pdf

Conduct county information sessions based on the quarterly TANF WP Case Review reports to discuss the MAXIS and Employment Services Activity Errors by Category and Cause information.

Use the recommended eDocs available or similar county created forms:

- DHS-2883 MDHS Request for Verification of School Attendance/Progress - English - 2-09 <https://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-2883-ENG>
- DHS-3336-ENG 8-08 Self Employment Report Form
<http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-3336-ENG>

- DHS-5006C-ENG 1-10 Earned Income/Pay Period/Date Tracking Form – 2010
<http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-5006C-ENG>
- DHS-5784-ENG 9-09 Employment Services Weekly Job Search Activity
Documentation Log <http://edocs.dhs.state.mn.us/lfserver/Legacy/DHS-5784-ENG>

Continue to use the detailed data reports provided by the Department of Employment and Economic Development (DEED) available at:

http://www.positivelyminnesota.com/All_Programs_Services/Work_Participation_-_MFIP_TANF/Reports_Instructions_General_Information/index.aspx

Read the “New Information and Updates” section and access county specific reports in the “Work Participation Reports” section.

Training Opportunities

Attend state presentations and training sessions on the WPR, documentation and verification requirements, and DRA updates.

Counties and ES providers with incorrect review findings are encouraged to work with their DHS Transition to Economic Stability (TES) regional consultants to obtain supplemental instructions and technical assistance. Refer to the MFIP ES Manual, Appendix F – Regional Teams/Contact Lists for MFIP & DWP for your regional consultants and their contact information, in the “Current Version of the Entire MFIP ES Manual” at:

http://www.dhs.state.mn.us/main/idcplg?IdcService=GET_DYNAMIC_CONVERSION&RevisionSelectionMethod=LatestReleased&dDocName=id_016957#

Counties Invited to Comment on this Report

DHS invites counties and ES providers to comment on this report and provide ideas of what additional information they would like to see in future reports. Please send your comments and/or ideas by email to Rita.Galindre@state.mn.us.

Appendix

Table A1 consists of the detailed data used to create Figure 2 on page 6. Represented are the number of cases with MAXIS (MX) and/or Employment Services (ES) activity reviewed for each quarter in FFY08 and FFY09, the number of correct cases for each area (MX/ES), and the percentage of correct cases for each area. The percentage of correct cases is the number of cases with activity in each area (MX/ES) that are correct divided by the number of total cases with MX or ES activity. Because not all 100 cases in each sample have MAXIS and ES activity, these percentages will not match the statewide case correct percentages in Table 3 on page 5. Many cases only have MAXIS or ES activity, not both.

Table A1 - FFY 2008 & FFY 2009 MAXIS & ES Correct Cases Results						
FFY Quarter	Cases w/MAXIS Activity	Correct MX Cases	% MAXIS Correct Cases	Cases w/ES Activity	Correct ES Cases	% ES Correct Cases
FFY 2008						
Oct-Dec 07	79	35	44%	32	2	6%
Jan-Mar 08	65	26	40%	49	9	18%
Apr-Jun 08	77	31	40%	42	8	19%
July-Sept 08	76	37	49%	37	8	22%
FFY 2008:	297	129	43%	160	27	17%
FFY 2009						
Oct-Dec 08	77	38	49%	37	10	27%
Jan-Mar 09	65	37	57%	49	15	31%
Apr-Jun 09	76	32	42%	41	12	29%
July-Sept 09	76	37	49%	41	9	22%
FFY 2009:	294	144	49%	168	46	27%

Improvements on meeting the TANF documentation requirements:

- financial workers improved 6 percentage points from FFY08
- job counselors improved by 10 percentage points from FFY08

Definitions & Examples of Error Categories

The five categories of error causes for county/MAXIS and ES errors are:

- Documentation & Verification – The appropriate or comparable documentation is not in the case file; it is incomplete or does not verify the number of hours reported in the TANF WPR federal report for the review month.
- Computation – The documentation is in the case file and the number of paid hours or activity hours were identified, added, or calculated incorrectly.
- Data Discrepancy – The documentation is in the case file and the hours reported were inconsistent or there are coding errors.
- Policy Incorrectly Applied – The documentation is in the case file and the financial worker or ESP did not apply the correct policy for the situation.
- Other – This category is used for errors that do not fit into one of the above categories.

The chart below lists some examples of error causes by category for MAXIS and ES. It is not an inclusive list.

Examples of Error Causes by Category		
Category	MAXIS Examples	ES Examples
Documentation or Verification	No paystubs or employer produced document; missing – participant’s name, paid hours, employer’s name or signature; incomplete documentation, no self-employment report form or comparable document	No request for school attendance or comparable form; missing – participant’s name, from/to dates, actual hours of attendance; no time sheet or activity log found; missing – type of each job search position interested in, results, company name, ESP signature; documentation submitted less than monthly
Computation	Math errors – simple addition, use of YTD totals; rounding error	Math error – simple addition of activity hours; rounding error, exceeds FLSA
Data Discrepancy	Recording work hours for income not received in the review month, STAT – MEMI coded incorrectly; no subsidized income coded on JOBS	Recording hours that exceed number of days in a week or hours in a day; recording one hour as tracking mechanism; hours recorded are inconsistent with documentation in the case file; total hours of supervised and unsupervised study time exceed time recommended by school
Policy Incorrectly Applied	Self-employment income policy incorrectly applied	Hours recorded under wrong activity; hours reported result of a proxy method or formula
Other	County unable to locate and submit case file for TANF review	ESP unable to locate and submit case file for TANF review; failed to notify financial worker of subsidized employment and subsidy type or subsidy has ended